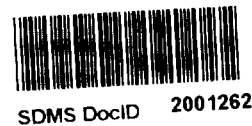




COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF PUBLIC WELFARE  
OFFICE OF GENERAL COUNSEL  
3<sup>rd</sup> FLOOR WEST, HEALTH & WELFARE BUILDING  
SEVENTH AND FORSTER STs  
HARRISBURG, PENNSYLVANIA 17120



TELEPHONE: 717-783-2800  
FAX: 717-772-0717

STEPHEN E. GORKA  
ASSISTANT COUNSEL

October 21, 2002

Ms. Carlyn Winter Prisk  
U.S. Environmental Protection Agency  
Region III  
1650 Arch Street  
Philadelphia, PA 19103-2029

**Re: Lower Darby Creek Area Superfund Site**

Dear Ms. Prisk:

On August 14, 2002, the Pennsylvania Department of Public Welfare ("Department") received a request from the Environmental Protection Agency for various information and records pertaining to waste, including hazardous waste, that Haverford State Hospital generated, stored or disposed of during the years 1958 to 1976. Although Department personnel extensively searched all existing records, they were unable to locate much responsive information. Since the Hospital was closed in 1998 and given that most of the records sought were for the period of 1958 to 1976, this result is not particularly surprising. The Department will continue to search its records for information that is responsive to your requests, and I will provide you and Brian Nishitani, Esquire, with an update in approximately two weeks.

Please do not hesitate to contact me if I can be of further assistance.

Very truly yours,

Stephen E. Gorka  
Assistant Counsel  
Department of Public Welfare

Enclosure

ORIGINAL  
FILE

**Response of the Pennsylvania Department of Public Welfare  
to the Questions of the U.S. Environmental Protection Agency  
Relating to the Haverford State Hospital Set Forth in Enclosure F**

Note - as directed, the number of each response corresponds to the number of each Environmental Protection Agency question (or question subpart).

1. The mailing address of the Pennsylvania Department of Public Welfare ("Department") is 3<sup>rd</sup> Floor West, Health and Welfare Building, 7<sup>th</sup> and Forster Streets, Harrisburg, PA 17120. The telephone number for the Department's Office of General Counsel is 717-783-2800.
2. Haverford State Hospital ("HSH") was a state-operated mental hospital during the period of 1958 to 1976. As such, it provided care and treatment for mentally ill individuals. HSH ceased all operations as of June 19, 1998.
3. The Department's Bureau of Human Resources found no organizational charts or other personnel records relating to the 1958 to 1976 period that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).
- 4a.- b. The Commonwealth of Pennsylvania Department of General Service ("DGS") owns the grounds and buildings of HSH. The Department is and was the state agency responsible for the operation of HSH from 1958 to June 19, 1998, when HSH ceased operations. The Department remains responsible for security and maintenance at the vacant site.
- 4c. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but so far found few records that are responsive to this question. It is believed that all records, documents and information relating to this question for the 1958 to 1976 period were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A). Moreover, the Department was unable to confirm when, or even if, HSH ever disposed of any hazardous waste or materials. The Department did locate an inventory of materials defined as hazardous that were at HSH at the time it ceased operations. (See Attachment B). Since HSH's closing, some of these items were transferred to other Department facilities for their use, and the Department is currently seeking a contractor to properly dispose of the remaining materials.
- 5a.- b. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but found that no records that are responsive to this question. In addition, no organizational

charts or other personnel records regarding the custodian of such documents from the 1958 to 1976 period could be located. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

5c. With the exception of the documents attached by the Environmental Protection Agency to its August 9, 2002 letter to the Department,<sup>1</sup> Department personnel, after reviewing existing safety and environmental program records and existing records that were removed from HSH after it ceased operations, could find no records regarding the transportation and disposal of any hazardous wastes or substances that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

6. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but found no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A). However, HSH, although licensed as a hospital, was a long-term care, residential facility. As such, many of the landfill waste streams typical to hospitals (i.e., chemo-therapeutic wastes) would not apply. The substances defined as "hazardous" used or stored at HSH would be primarily limited to household type substances. (See, e.g., Attachment B). Moreover, as noted, the Department was unable to determine if HSH ever disposed of any hazardous waste or materials.

6a.- f. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

7a.- f. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

---

<sup>1</sup> These documents are three local purchase proposals for HSH trash and garbage removal completed by Tri-County Hauling, Calgon Hook Rd, Darby, PA 19023. These proposals are dated March 18, 1970, March 1, 1971 and March 13, 1974.

8a.-e., 8g.-v. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

8f. The Environmental Protection Agency has attached documents to its August 9, 2002 letter to the Department that show that Tri-County Hauling submitted local purchase proposals to the Department to bid on a contract to remove trash and garbage from HSH. The Department could not locate any other records, documents or other information pertaining to any contract(s) between the Department and Tri-County Hauling. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

9a.- i. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

10a.- c. Department personnel reviewed existing safety and environmental program records, the records that were removed from HSH after it ceased operations and personnel records but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

11a.- e. Department personnel reviewed existing safety and environmental program records, the records that were removed from HSH after it ceased operations and personnel records but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A). To the extent that this question also requests any such records for the post 1976 period, after reviewing existing records, the Department found no documents or records that show that materials were ever disposed at, or treated at, Clearview, Folcroft, Folcroft Annex or other areas of the Site.

12a.-d. Department personnel reviewed existing safety and environmental program records, existing records that were removed from HSH after it ceased operations and personnel records but could find no records that are responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules.

ORIGINAL  
12/25/01

(See Attachment A). To the extent that this question also requests any such records for the post 1976 period, after reviewing existing records, the Department found no documents or records that show the Department, HSH, or any other company or individual ever spilled or caused a release of any chemicals, hazardous substances, and/or hazardous waste, and/or non-hazardous solid waste on any portion of Clearview, Folcroft and Folcroft Annex or any other portions of the Site.

13. The Department's Bureau of Human Resources found no personnel records that were responsive to this question. It is believed that all records, documents and information pertaining to this question were disposed of pursuant to the Department's Records Retention and Disposition Schedules. (See Attachment A).

14. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but found no documents or records showing that any person or entity acting on behalf of the Department ever conducted any assessment or investigation relating to contamination of Clearview, Folcroft, Folcroft Annex or other areas of the Site.

15. Department personnel reviewed existing safety and environmental program records and existing records that were removed from HSH after it ceased operations but found no documents or records containing information about other parties who may have information which may assist the Environmental Protection Agency in its investigation of the Site, including Clearview, Folcroft and Folcroft Annex, or who may be responsible for the generation of, transportation to, or release of contamination at the Site.

16a. The person answering these questions on behalf of the Department is Michael Breen, Safety and Environmental Program Manager, Division of Facilities and Space Management, Bertolino Building, 1401 North 7<sup>th</sup> Street, Harrisburg, PA 17105, Telephone # 717-772-2077.

16b. Please direct future correspondence to Stephen E. Gorka, Assistant Counsel, 3<sup>rd</sup> Floor West, Health and Welfare Building, 7<sup>th</sup> & Forster Streets, Harrisburg, PA 17120, Telephone # 717-783-2800.

17. Those requested documents that are no longer available, assuming that they ever existed, were too old to be retained pursuant to the Department's document retention policy, and were destroyed.

17a. The Department's Records Retention and Disposition Schedules are attached in their entirety. (See Attachment A). The pertinent Disposition Schedules have been tabbed for your convenience.

17b. After reviewing its records pertaining to HSH, the Department was unable to find any records about the method or approximate date of the destruction of any pertinent documents that may have existed.

17c. After reviewing its records pertaining to HSH, the Department could not find any no records pertaining to the contents, or even the existence, of these documents.

17d. Prior to its closing, the HSH Safety Manager would have been responsible for the retention of any documents relating to the handling, generation, storage, treatment, transportation or disposal of any hazardous substance or waste, or other waste, at HSH, and that individual would have produce the requested documents if they existed. HSH's last Safety Manager was Anthony Varrassi, 110 West Arch Street, Fleetwood, PA 19522, 610-944-9113.

After HSH ceased operations, all documents were transferred either to the Norristown State Hospital or to the Department's Division of Facilities and Space Management. The individual directly in charge of HVHS's closing and the document transfer was Mr. John Drabowski (retired), 89 Austin Drive, Holland, PA 18966.

Any documents relating to the handling, generation, storage, treatment, transportation or disposal of any hazardous substance or waste, or other waste, at HSH were transferred either to the Safety Department at Norristown State Hospital or to Department's Division of Facilities and Space Management. The current Safety Manager at Norristown State Hospital is Mr. Nelson Landon, Norristown State Hospital, 1001 Sterigere Street, Norristown, PA 19401. The Safety and Environmental Program Manager is Michael Breen, Bertolino Building, 1401 North 7<sup>th</sup> Street, Harrisburg, PA 17105.

The Department has been unable to locate records showing who would have been responsible for the destruction of the requested documents from the 1958 to 1976 period.



Michael Breen  
Safety and Environmental Program Manager  
Department of Public Welfare

**ATTACHMENT A**

**COMMONWEALTH OF PENNSYLVANIA**

**PERSONNEL RECORDS RETENTION**

**and**

**DISPOSITION SCHEDULE**



**This document prepared by:**

**Office of Administration  
Bureau of Personnel**

**and**

**Pennsylvania Historical and Museum Commission  
Bureau of Archives and History**

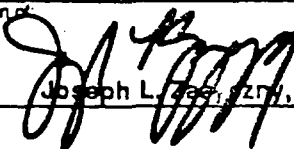
**March 1993**



# Commonwealth of Pennsylvania

## GOVERNOR'S OFFICE

### MANUAL

Subject:		Personnel Records Retention and Disposition Schedule		Number:	M505.4 Amended
Date:	March 24, 1993	Distribution:	Special	By Direction of:	 Joseph L. Zagari, Secretary of Administration

Resolution RE-90-122 dated June 22, 1990, established general personnel records retention and disposition schedule covering personnel records.

Section 709(k) of *The Administrative Code of 1929* authorizes the disposal of files or correspondence, reports, records, or other papers which are not needed for current or anticipated future operations.

This manual includes a general records retention and disposition schedule for personnel records which is to be followed by personnel offices.

All general personnel records retention and disposition schedules previously issued are hereby rescinded.

Any questions relative to this manual are to be directed to the Bureau of Personnel, 787-5966.

This manual supersedes M505.4 dated June 22, 1990, Revision No. 1 dated October 3, 1990, and Revision No. 2 dated April 7, 1992.

## INTRODUCTION

The General Personnel Records Retention and Disposition Schedule provides Commonwealth of Pennsylvania agencies with guidelines for the maintenance of common personnel records. While the retention and disposition schedule is not all inclusive, many of these records are normally used and maintained in agency Personnel Offices. The schedule was prepared by the Office of Administration, Bureau of Personnel, and the Pennsylvania Historical and Museum Commission, Bureau of Archives and History, with the purpose of:

- providing agencies with uniform guidelines for the retention and disposition of common personnel records;
- ensuring that agencies retain personnel records as long as needed for administrative, legal, collective bargaining, and fiscal uses;
- promoting cost-effectiveness of the records management program; and
- providing agencies with authorization to dispose of obsolete records on a regularly scheduled basis after minimum retention periods have been met.

The retention schedule is in two parts; Part One contains standard records (STD) and Part Two contains miscellaneous records such as Civil Service (SCSC) and various benefits records. NOTE: State Employees' Retirement System originated forms are not included in this schedule.

The schedule includes the following information:

- form number;
- form title;
- distribution;
- retention period (in years);
- series item number (for records management identification).

Recommended record retention periods are listed in years, from date of form completion, except where otherwise noted. Guidelines are made for retention of certain records in employee *Official Personnel Folder (OPF)*, Form STD-301. Correspondence affecting an employee's career such as appointment, promotion/demotion, salary change, transfer or recognition should also be maintained in the *Official Personnel Folder*.

Agency Personnel Officers can distribute records to their field facilities and bureaus as needed. However, auxiliary records maintained on employees at these locations should be destroyed after termination or transfer to another agency. Records under legal review, appeal, or study are exempt from this schedule. Additional procedures for the maintenance, access, and release of personnel information are included in Management Directive 505.18, *Maintenance, Access, and Release of Employee Information*. For assistance with the interpretation or use of this schedule or with related records management problems, please contact the Office of Administration, Bureau of Personnel, telephone 787-5966.

# PERSONNEL RECORDS RETENTION SCHEDULE

## PART ONE: STD FORMS

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• STD-2	Overtime Equalization Worksheet	Agency Personnel	4		P-125
STD-50	Identification Card  *Return to Personnel upon termination from Agency for destruction.	Employee	•		P-126
STD-142	Affidavit to Procure Salary, Wages, Benefits, or Travel Expenses Due Deceased Employees  *One year or audit and acceptance, whichever is longer.	Comptroller Treasury Auditor General Agency Personnel	• 2 4 OPF Perm	6 5 3	P-127
STD-275	Signature Authorization  *Until superseded.	Agency Personnel Treasury Comptroller DGS, Purchasing	• • • •		P-128
STD-276	Designation of Emergency Interim Successor To State Officers	Agency Personnel	OPF Current		P-129
STD-279	Out-Service Training Authorization  *One year or audit and acceptance, whichever is longer.  **Until finalized.	Employee Comptroller Acctng Comptroller Pending Auditor General Agency Personnel	- • ** 4 3	3 3	P-130

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-281	Self-Assessment of Agency Personnel Management Programs	Agency Personnel	Current		P-131
• STD-282	CWEP Summary Report	Agency Personnel	4		P-132
STD-300	Application for Non-Civil Service Employment	Agency Personnel Div State Empl	OPF Current 1		P-1
STD-301	Official Personnel Folder  *60 days after separation from state service, send to SRC; if employee is 75 years of age or more, retain at agency for four years.  **Maintain until former employee's 75th birthday, then destroy.	Agency Personnel	*	**	P-79
STD-305	Training Record  *Place in OPF upon separation or transfer.	Agency Personnel	Perm *		P-135
STD-312	Application Transmittal	Agency Personnel	1		P-136
STD-313.1	Requirements for all Former Public Employees and Public Officials Under Act 170, Pennsylvania State Ethics Act	Agency Personnel	5		P-137
• STD-314	Act 170, Financial Disclosure Appeal Form	Agency Personnel Employee	OPF 4 -		P-138

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-315	Performance Evaluation Report  *Three most recent annual reports.  **SCSC requires end of probationary, extended probationary, and all unsatisfactory reports. NOTE: STD-315 is used to rate Attorneys only.	Employee Agency Personnel SCSC	- OPF * **		P-4
STD-318	Pre-Employment Verification	Agency Personnel	Current		P-139
• STD-319	Documentation Audit-Clerical (CAM)	Agency Personnel	4		P-140
STD-320	Personnel Transfer Request  *File with SCSC-1.  **Six months following date of transfer.	Agency Personnel SCSC Div State Empl Losing Agency Gaining Agency Employee	OPF Perm * 1 ** ** -		P-90
• STD-322	Exit Information Summary	Agency Personnel	4		P-141
• STD-322.1	Exit Questionnaire	Agency Personnel	4		P-142
STD-323	Code of Conduct Statement of Financial Interest	Agency Personnel Employee	4 -		P-143
STD-324	Employee Performance Evaluation Report  *Three most recent annual reports.  **SCSC requires end of probationary, extended probationary, and all unsatisfactory reports.	Employee Agency Personnel SCSC	- OPF * **		P-144

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• STD-325	Oral Interview	Agency Personnel	4		P-145
STD-326	Management, Supervisory, and Professional & Technical Performance Evaluation Summary Report  *Three most recent annual reports.  **SCSC requires end of probationary, extended probationary, and all unsatisfactory reports.	Employee Agency Personnel SCSC	- OPF * **		P-146
STD-326A	Performance Objectives  *Three most recent reports.	Employee Agency Personnel	- OPF *		P-147
STD-326B	Performance Factors for Managers/Supervisors  *Three most recent reports.	Employee Agency Personnel	- OPF *		P-148
STD-326C	Performance Factors for Non-Supervisory Professional and Technical  *Three most recent reports.	Employee Agency Personnel	- OPF *		P-149
STD-328	Leave Adjustment Authorization	Employee Timekeeper	- 4		P-150
STD-329	Leave Payment Authorization  *One year or audit, whichever is longer.	Treasury Treas/Auditor Gen Comptroller Agency Personnel	2 4 * OPF 4	5 3 6	P-151

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-330	Request for Leave  *Maintain for 90 days into the next calendar year.	Timekeeper Approving Authority Employee	• • —		P-12
• STD-334	Request for Reimbursement of Applicant's Travel Expenses	Agency Personnel	4		P-152
STD-335	Request for Special Extension of Sick Leave	Agency Personnel	OPF 4		P-153
STD-C336	Record of Absence	Agency Personnel	OPF 4		P-154
STD-338	Request for Dual Employment  *For duration of dual employment status; if denied, retain one year.	Agency Personnel Employee	OPF * —		P-155
STD-344	Employer's Report of Occupational Injury or Disease	SWIF Workers' Comp Agency Personnel Medical Office Employee	— — OPF Perm — —		P-156
• STD-349	Workers' Compensation Claim Petition Status Sheet	Agency Personnel	4		P-157
• STD-350	Conditions for Continued Employment Information and Consent Form  *Maintain for one year following notification from SEAP Central Coordinating Office that the employee has successfully completed treatment.	Agency Personnel OA, SEAP	• 4		P-221

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-354	Financial Institution Deduction Authorization	Agency Personnel Employee Financial Instit	OPF Current - -		P-80
STD-355	Supplementary Employment Request	Agency Personnel Employee	Current -		P-158
STD-356	Supplementary Employment Agency Notification	Agency Personnel Employee	Current -		P-159
STD-357	Supplementary Employment Request for Review	Agency Personnel Employee	Current -		P-160
STD-360B	Personnel Authorization  *One year or audit, whichever is longer.	Treasury Treas/Auditor Gen Comptroller SCSC Div State Empl Agency Personnel	2 4 • 1 1 1	5 3 6 3	P-22
STD-362	Temporary Assignment in Higher Classification - Time Record  *One year or audit, whichever is longer.	Treasury Treas/Auditor Gen Comptroller Agency Personnel	2 4 • OPF Perm	5 3 6	P-5
STD-364	Personnel Authorization Addendum  *One year or audit, whichever is longer.	Treasury Treas/Auditor Gen Comptroller SCSC Div State Empl Agency Personnel	2 4 • 1 1 1	5 3 6 3	P-161
STD-370	Job Description	Agency Personnel Employee	Current -		P-47
STD-375	Complement Authorization Request	Agency Personnel Office of Budget OA, Personnel Div State Empl	1 4 1 1		P-109



Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-377	Report of Maintenance Charges	Agency Personnel --	OPF Current		P-6
STD-399	Earned Income (Wage) Tax Questionnaire	Agency Personnel	OPF Current		P-81
STD-400	Application for Membership - State Employees' Retirement System	SERS, Acctng Div Agency Personnel Comptroller	Perm OPF Perm Current		P-3
STD-402	Nomination of Beneficiaries - State Employees' Retirement System  *After one year, maintain on microfilm.	Employee SERS	- 1 *	7	P-162
STD-402.1	Nomination of Beneficiary(ies) (brief version)  *After one year, maintain on microfilm.	Employee SERS	- 1 *	7	P-163
STD-404	Invoice-State Share of Group Life Insurance Premiums  *One year or audit and acceptance, whichever is longer.	Auditor General Comptroller Gen Svcs Comptroller Employee	4 * * -	3 6	P-164
STD-410	Application for Refund of Member's Contributions and Interest  *After one year, maintain on microfilm.	Employee SERS	- 1 *	7	P-165
STD-415	Service and Salary Record	Agency Personnel	OPF Perm		P-166

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-421	Notification of Member's Change in Status - State Employees' Retirement System  *After one year, maintain on microfilm.	Employee SERS	- 1 *	7	P-167
STD-430	Report of Incident/Accident	DGS, Risk & Ins Mgmt Agency Personnel	2 4		P-168
STD-431	Disability Information Request  *Retain four years or until case is closed, whichever is longer.	Agency Personnel	OPF *		P-169
STD-432	Union Dues Deduction Status	Agency Personnel	OPF Current		P-84
STD-439	Request for Salary/Wage Advancement  *Until finalized.  **One year or audit and acceptance, whichever is longer.	Treasury Comptroller Pending Comptroller Payroll Comptroller Acctng Agency Personnel	2 * 1 ** 1	5   6	P-170
STD-441	Authorization for Direct Deposit of Pay	Agency Personnel Employee Financial Instit	OPF Current - -		P-171
STD-447	Pa. State Employee Family Care Account Program - Enrollment Form	Agency Personnel Employee Transactions	OPF Current - -		P-223
STD-448	Pa. State Employee Family Care Account Program - Family Status Change	Agency Personnel Employee Transactions	OPF Current - -		P-224

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• STD-449	Pa. State Employee Family Care Account Program – Reimbursement Claim	Agency Personnel Employee Transactions	4 – –		P-225
STD-450	Employee's Request for Additional State Income Tax Withholding	Agency Personnel	OPF Current		P-82
STD-470C	Available Positions Work Sheet	Agency Personnel	5		P-172
STD-471	Affirmative Action Hiring Goals	Agency Personnel	5		P-173
STD-472	Action Programs to Implement Goals	Agency Personnel	5		P-174
STD-473	Grievance/Complaint Record	Agency Personnel	5		P-175
STD-474	Affirmative Action Furlough and Reinstatement Report	Agency Personnel	5		P-176
STD-475	Affirmative Action Targeting and Hiring Report	Agency Personnel	5		P-177
STD-476	Tracking Form	Agency Personnel	1		P-178
STD-477	Monthly Training Record	Agency Personnel	1		P-179
STD-478	Monthly Agencywide Summary	Agency Personnel	1		P-180
STD-479	Format for Action Plans	Agency Personnel	1		P-181

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-480	Furlough Impact By Race and Sex	Agency Personnel	1		P-182
• STD-483	Affirmative Action Certificate	Agency Personnel	4		P-184
• STD-486	Affirmative Action/Contract Compliance Discrimination Complaint	Agency Personnel	4		P-226
STD-700	Driver's Acknowledgement of Compliance	Agency Personnel	OPF Current		P-185
STD-701 & STD-701A	Commercial Motor Vehicle Safety Act, Employment Information (Side 1) and Supplementary Information (Side 2)	Agency Personnel	OPF Perm		P-222
STD-929 & STD-C929	Time and Attendance Report  *Original Copy  **Discard all copies of forms not used in sample post audit process. Only those forms audited will be retained seven (7) years.	Timekeeper Comptroller Employee	7* ** -		P-187
STD-931	Manual Payroll Refund Listing	OB, Bur Fin Mgmt Vendor Comptroller Agency Personnel	1 - 1 Current	6  6	P-188
STD-932	SERS Employee Share - Manual Payroll Refund Listing	OB, Bur Fin Mgmt SERS Comptroller Agency Personnel	1 1 1 Current	6 7 6	P-189

## PART TWO: MISCELLANEOUS FORMS

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
SCSC-1	Application for Employment/Promotion  *If retained.	SCSC Agency Personnel	Perm OPF Current*		P-190
SCSC-6 SCSC-6A SCSC-6B SCSC-6C	Request for AEP AEP Job Information AEP Recruitment Report AEP Notice of Results	SCSC Agency Personnel	4 1		P-191
SCSC-90	Request for Certification	SCSC Agency Personnel	1 1	3	P-24
SCSC-91	Certification of Eligibles	SCSC Agency Personnel	1 1	3	P-25
SCSC-98	Interview Notice/ Availability Survey	SCSC Agency Personnel Applicant	1 1 -	3	P-28
SCSC-2550	Request for Evaluation  *Retain with SCSC-1.	SCSC Agency Personnel	• 1		P-33
SCSC-4112	Appeal Request  • *Maintain for four years • or until case closed, • whichever is longer.	Agency Personnel	OPF *		P-192
SCSC-5223	Unqualified Recommendation for Promotion	Agency Personnel	OPF 4		P-193
SCSC-5247	Recruitment and Examination Needs	SCSC Agency Personnel	4 1		P-194

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
SCSC-5265	RPE Request	SCSC Agency Personnel	4 1		P-195
SCSC-5274	Request for Selective Certification	SCSC Agency Personnel	4 1		P-196
SCSC-5275	Request for Removal of Eligible	SCSC Agency Personnel	2 1	2	P-197
SCSC-5280	Delegation of Signatory Authority	SCSC Agency Personnel	Current Current		P-198
DD-214	Separation From the Armed Forces of the U.S.	Agency Personnel	OPF Perm		P-199
GLI-82	Application for Disability Life Insurance	Agency Personnel	OPF Perm		P-200
I-9	Employment Eligibility Verification	Agency Personnel	OPF Perm		P-201
LG-6047f	Notice of Right to Convert Group Life Insurance	Agency Personnel	Perm		P-202
LG-6090	Request for Installment Option	Agency Personnel	Current		P-203
LM-1381b	Commonwealth of Pa. Beneficiary Designation Form	Bur of Risk & Ins Mgmt Agency Personnel Employee	Perm OPF Current -		P-204
REV-420	Employee Statement of Non-Residence in Pa.	Agency Personnel	OPF Current		P-205
SEC-1	Statement of Financial Interest (State Ethics Act: Act 170)	Agency Personnel Employee	5 -		P-206

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
SEP-2	State Employee Health Program/Retired Employee Health Program	Pa. Benefit Trust Fund Payroll/Retirement Bd Drug Administrator Agency Personnel Employee	— — — OPF Perm —		P-207
SP4-164	Request for Criminal History Record Information	Agency Personnel	OPF Perm		P-208
• UC-44F	Notice of Financial Determination	Agency Personnel	4		P-209
• UC-45	Notice of Application and Employer's Statement	Agency Personnel	4		P-210
• UC-46	Petition for Appeal	Agency Personnel	4		P-211
• UC-53 • UC-53E	Notice of Hearing on Original/Board Appeal	Agency Personnel	4		P-212
• UC-59	Pa. Unemployment Compensation Board of Review Referee's Decision	Agency Personnel	4		P-213
• UC-150	Notice of Amount Due for Compensation Paid	Agency Personnel	4		P-214
• UC-483	Subsequent Benefit Year Information	Agency Personnel	4		P-215
• UC-494	Employer's Statement	Agency Personnel	4		P-216
• UC-640 UC-640A	Monthly Notice of Compensation Charged/Report on Conflict Wages and Benefits	Agency Personnel	4		P-217

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• UC-785	Low Earnings Report	Agency Personnel	4		P-218
UC-1609	Location of Records for Unemployment Compensation	Agency Personnel	Current		P-219
W-4	Employee's Withholding Exemption Certification	Agency Personnel	OPF Current		P-89
9-080-BF	Deferred Compensation	Agency Personnel	Current		P-220



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF PUBLIC WELFARE

RECORDS RETENTION  
AND  
DISPOSITON SCHEDULE



ACCOUNTING

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF PUBLIC WELFARE

RECORDS RETENTION  
AND  
DISPOSITION SCHEDULE



EXECUTIVE

# RECORDS RETENTION SCHEDULES

## OFFICE OF THE SECRETARY OF PUBLIC WELFARE

ORGANIZATION CODE 1000	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	M I C R O F I L M	RETENTION				A R C H I V E S	D I S P O S I T I O N
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
212-0	<u>Secretary's General Correspondence</u> The files contain correspondence such as requests for information with replies and includes correspondence with both state and federal legislators.		2	0	10	0	X	4
213-0	<u>Administrative Correspondence</u> The files contain letters, memos, notes, miscellaneous records, reports, and analyses. The information is from, to, or between Program Office Heads, federal agencies and/or private organizations and individuals.		2	0	10	0	X	4
217-0	<u>State Institution Files</u> The files contain correspondence and related material concerning the operation of Institutions.		2	0	10	0		1
218-0	<u>Federal Department of Health and Human Services Files</u> The files contain regulations and programs concerning the operation of Welfare activities in state and local governments.		2	0	10	0		1
224-0	<u>Public Assistance Files</u> The files contain minutes of State Board meetings, State Board membership historical files, Auditor General's audits, and other reports.		4	0	10	0		1
1313-0	<u>Administrative Correspondence to Other State Agencies and Departments</u>		2	0	10	0	X	4
1314-0	<u>Correspondence To and From the Governor's Office (includes staff)</u>		2	0	10	0		1
1315-0	<u>Incoming Correspondence Log</u>		3	0	10	0		1

# RECORDS RETENTION SCHEDULES

## CHIEF COUNSEL

ORGANIZATION CODE 1080	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVAL VALUES	PRIORITY
			AGENCY	AGENCY	RECORD CENTER	RECORD CENTER		
			YEARS	MONTHS	YEARS	MONTHS		
220-0	<u>Legal Counsel Administrative Files</u> The files contain correspondence and related data concerning legal matters with offices and facilities.		5	0	2	0	X	4
385-0	<u>Court Litigation Cases</u> The files contain papers and correspondence related to litigation.		3	0	5	0		1
387-0	<u>Administrative Files</u> The files contain correspondence and related data concerning Departmental Programs.		2	0	5	0		1

**RECORDS RETENTION SCHEDULES**  
**OFFICE OF HEARINGS AND APPEALS**

ORGANIZATION CODE 1030	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	M I C R O F I L M	RETENTION				A R C H I V E S	D I S P O S I T I O N
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
152-0	<u>Hearing Files</u> The files contain requests for hearings by applicants to appeal action or failure to act on the part of the county assistance office, including related correspondence, minutes, and resulting decisions.		0	3	3	9		3
386-0	<u>Administrative Agency Hearing Cases</u> The files contain papers and correspondence related to agency hearing cases.		2	0	5	0		1
906-0	<u>Hearings and Appeals General Correspondence</u> The files contain memos, reports, analyses and letters.		3	0	0	0	X	4
907-0	<u>Audio Tapes of Hearings</u> The tapes contain the proceedings of each case.  *The tapes are erased one year after the individual case is completed.		1*	0	0	0		*

# RECORDS RETENTION SCHEDULES

## COMMUNICATIONS OFFICE

ORGANIZATION CODE 1040	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOSAL CODES
			AGENCY	AGENCY	RECORD CENTER	RECORD CENTER		
			YEARS	MONTHS	YEARS	MONTHS		
974-0	<u>Press Clippings</u>		4	0	0	0		1
975-0	<u>DPW News Releases</u>		8	0	0	0		1
976-0	<u>Communications Office Background Correspondence</u> The files contain information dealing with the background subject matter for actual or potential news releases.		4	0	0	0		1
977-0	<u>Communications Office Organizational General Correspondence</u> The files contain memos, letters, reports and analyses from or to or for other organizational elements within the Commonwealth.		2	0	0	0		1

**RECORDS RETENTION SCHEDULES**  
**OFFICE OF FEDERAL AND STATE RELATIONS**

ORGANIZATION CODE 1070	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOSAL CODES
			AGENCY	AGENCY	RECORD CENTER	RECORD CENTER		
			YEARS	MONTHS	YEARS	MONTHS		
226-0	<u>Legislative Reference Files</u> The file contains correspondence and related material concerning legislative bills and acts that affect the administration and operation of DPW.		2	0	10	0		1
903	<u>Federal &amp; State General Correspondence</u> The files include letters, memos, budget information, reports and analyses, etc.		2	0	0	0		3
904	<u>Federal Relations</u> The files contain Federal legislation and papers, studies, etc., concerning the interface between DPW and the Federal government.		4	0	0	0		1
905	<u>State Relations</u> The files contain information concerning the State Senate and House Bills, as well as, Acts that affect DPW. In addition, a file on each legislator is kept.		4	0	0	0		1

# RECORDS RETENTION SCHEDULES

## OFFICE OF CLIENT RIGHTS

ORGANIZATION CODE 1050	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				X M C H I V E S	C O P I E S
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
927-0	<u>Client Rights - Director's Files</u> The files contain general correspondence, notes, reports, background information and related material regarding general OCR activities and operations.  *Historical material would be retained indefinitely by the agency.		5*	0	0	0	X	4
928-0	<u>Client Rights - Administration</u> The file contains general correspondence, memos, reports, administrative requests and records, notes and related material.		7	0	0	0		1
929-0	<u>Client Representative Program - General</u> The file contains correspondence, notes, reports, background information and related material regarding the Client Representative Program.		5	0	0	0		1
930-0	<u>Client Representative Program - Complaints/Investigations</u> The file contains complaint and investigative forms, reports and related information for the client complaint process.		7	0	0	0		3
931-0	<u>Client Representative Program - Education and Training</u> The file contains material used to orient and train client representatives, facility staff and other OCR staff.		5	0	0	0		1



**RECORDS RETENTION SCHEDULES**  
**OFFICE FOR POLICY, EVALUATION AND DEVELOPMENT**

ORGANIZATION CODE 1450	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOSAL CODE
			AGENCY	AGENCY	RECORD CENTER	RECORD CENTER		
			YEARS	MONTH	YEARS	MONTH		
800-0	<u>Administrative/Operations File</u> The files contain documentation concerning the administrative and operational aspects of the Office of Policy, Evaluation and Development		2	0	2	0	X	4
813-0	<u>Plan File</u> The files contain documentation relating to the review process of all DPW plans for policy conformance.		2	0	2	0	X	4
1038-0	<u>Committees</u> The files contain minutes, correspondence studies, analyses, etc., for Human Services Committees such as: A. Interdepartmental Human Services Planning B. AIDS C. Recreational Planning D. Pennsylvania Intergovernmental Council E. Human Resources Development Task Force F. Etc.		1	0	7	0		1
1040-0	<u>Input for Blue Back contracts and Requests for Proposals</u>  *Retain in office until the contract is complete and in the Records Center for 7 additional years.		*	0	7	0		1

**RECORDS RETENTION SCHEDULES**  
**BUREAU OF POLICY, EVALUATION AND RESEARCH**

ORGANIZATION CODE 1460	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOSAL
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
727-0	<u>Community Work Experience Program (CWEP)</u> The files contain information compiled for federal and state studies regarding the Community Work Experience Program, specifically background and supporting documentation, survey results, monthly reporting, personnel records, budget data, and related correspondence.		0	0	15	0		1
810-0	<u>Operations File</u> The files contain correspondence, reports and documentation supporting operations of the bureau.		2	0	2	0	X	4
814-0	<u>Information Resource Center File</u> The files contain library of publications of general information, statistical reports, annual reports, etc., from DPW program areas, the Federal government and other states.  *The Files should be reviewed annually and no relevant or dated information obsoleted.		*	0	4	0	X	4
815-0	<u>County Planning Data Kit and County Profiles</u> The file contains information used for planning, including census data. Information remains useful over a ten-year cycle because of the census schedule.		1	0	10	0		1
816-0	<u>Research, Demonstration and Evaluation Project File</u> The files contain documentation relating to research, demonstration and evaluation activities such as survey results, reports, budget data and related correspondence. Project file includes as examples: <ul style="list-style-type: none"> <li>- Health Insuring Organization Demonstration Project</li> <li>- Mental Health's Patient Rights Demonstration Project</li> <li>- Employment Incentive Payment Voucher Program</li> </ul> *Retain in office for 1 year after research and evaluation are complete.		1*	0	4	0	X	4
817-0	<u>Community Work Experience (CWEP) File</u> The files contain documentation on the evaluation of the CWEP Program such as survey results, reports, budget data and related correspondence.  *Retain in office 1 year after research and evaluation are complete.		1*	0	6	0	X	4
818-0	<u>Saturation Work Demonstration Program</u> The files contain documentation on the evaluation of the Saturation Work Demonstration Program such as contracts, survey results, budget data and related correspondence. *Retain in office 1 year after research and evaluation are complete.		1*	0	6	0	X	4

**RECORDS RETENTION SCHEDULES**  
**BUREAU OF PLANNING AND PROGRAM DEVELOPMENT**

ORGANIZATION CODE 1470	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOS
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
812-0	<u>Human Services Planning Systems Technical Assistance Contracts</u>		2	0	5	0	X	4

**RECORDS RETENTION SCHEDULES  
BUREAU OF REGULATORY ADMINISTRATION**

ORGANIZATION CODE 1480	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISP CODES
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
811-0	<u>Regulations File</u> The files contain documentation regarding the monitoring and tracking of DPW Regulations to the publication stage.  *Retain 1 year in office after publication then transfer to the State Records Center.		1*	0	3	0		1

**RECORDS RETENTION SCHEDULES**  
**DEVELOPMENTAL DISABILITIES PLANNING COUNCIL**

ORGANIZATION CODE 1490	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	M I C R O F I L M	RETENTION				A R C H I V E S	D I S P O S I T I O N
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
1317-0	<u>General Correspondence</u> The files contain letters, memos, notes, miscellaneous reports, records, and analyses.  *Retain as long as required.		*	0	0	0		1

# RECORDS RETENTION SCHEDULES

## OFFICE OF CHAPLAINCY SERVICES

ORGANIZATION CODE 1010	DISPOSAL CODES	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY
------------------------------	-------------------	--

SCHEDULE ITEM NO.	RECORD SERIES TITLE AND DESCRIPTION	MICROFILM	RETENTION				ARCHIVES	DISPOSAL
			AGENCY YEARS	AGENCY MONTHS	RECORD CENTER YEARS	RECORD CENTER MONTHS		
505-0	<u>General Files</u> The files are program files of DPW and Justice; Individual personnel files for contact personnel for the Chaplain's office; files on churches/church groups/church organizations; job application files; chaplain's lists; newspaper clippings of current interest; chaplain's newspaper files.  *Destroy when outdated or superseded.		*	0	0	0		1
506-0	<u>Correspondence Files</u> The files contain general correspondence, minutes/notes of conferences/meetings, reference and backup.		2	0	5	0		1
507-0	<u>Personnel Action Files</u> The files contain work papers, back-up materials, draft job descriptions for chaplains in State service.  *Destroy when new job descriptions are written or when materials are obsolete.		*	0	0	0		1
509-0	<u>Inmate/Patient/Resident Records of individuals that have been referred to the DPW Chaplain.</u>		3	0	4	0		1
510-0	<u>Individual Personnel File Folders (Volunteers--Non State Employees)</u>  *Transferred to inactive file upon leaving; retained one year and destroyed.		*	0	0	0		1
511-0	<u>Facility Files</u> Files on chaplaincy related programs at each facility; files on state/federal laws as pertains to institution and chaplaincy; personnel files.  *Destroy when no longer required.		*	0	0	0		1

# GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE ACCOUNTING

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
301		BUDGET DOCUMENTS				
301.2	STD-260	Schedule of Allocation of Appropriations or Executive Authorizations	1 2 3 4 5	Compt-Acctg Cont Compt-Pending OB Budget Office Agency Institution	1* ** *** 3 3	3
301.4	STD-263	Allocation or Allotment Amendment Allocation Amend Only - -	1 2 3 4 5 6	Compt-Acctg Cont Compt-Pending OB Budget Office Agency Institution Agency/Instit Pend	1* ** *** 3 3 ***	3
301.5	STD-292	Report of Lapse	1 2 3 4 5 6 7	Treasury - TABS Treas Bkkgp TABS OB Budget Office Auditor General OB Bur of Fin Mgmt Compt-Acctg Cont Compt-Pending	2 2 *** 4 ** 1* **	5 5 3 3
* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference. *** May be retained in office of origin for six months then discarded.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORD CENTER
302		REQUISITION DOCUMENTS				
302.1	STD-173 STD-173A	Purchase Requisition Continuation Sheet	1	General Services	**	
			2	Compt-Acctg Cont	1*	3
			3	Inst/Main Supt	3	
			4	General Services	2	5
			5	Ch Maint Eng/Other	3***	
			6	Dist Eng/Equip Eng/ Other	3	
302.2	STD-181	Agency Purchase Request	1	Procurement	3	
			2	Inst/Bureau	3	
302.4	STD-510	Internal Stores Requisition	1	Procurement	3	
			2	Agency Storeroom	3	
			3	Inst/Bureau	3	
<p>* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference. *** Or for period of contract.</p>						



ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
303		ENCUMBRANCE DOCUMENTS				
303.1	STD-174 STD-174A	Supplies and Forms Encumbrance Continuation Sheet	1 2 3 4 5 6	DGS/Bur of Corr Auditor General Using Comp-Acctg Cnt Centr Serv Compt Compt-Acctg Cont Institution/Other	3 4 1* 1* 1* 3	3 3 3 3
303.3	STD-180	Purchase Order	1 2 3 4 5 6 7 8	Vendor Treasury DGS Pur/Treasury DGS Pur File Copy Compt-Acctg Cont DGS Telecom & Strds Institution/Other Bur Off Serv/Agency Procurement	- 2 2 *** 1* 1 3 3**	5 5 3
303.4	STD-182 STD-182A	Field Limited Purchase Order Continuation Sheet	1 2 3 4 5 6	Vendor Compt-Acctg Cont Treasury Maint Engr/Equip Bur/Off Serv Inst/Dist Engr/Main Supt DGS Purchase File Copy	- 1* 2 3 3 3 ***	3 5
303.5	STD-183 STD-183A	Miscellaneous Order Continuation Sheet	1 2 3 4	Vendor Compt-Acctg Cont Auditor General Institution	- 1* 4 3	3 3
* One year or audit and acceptance, whichever is longer. ** Or for period of contract. *** Until superseded, obsolete, or no longer needed for reference.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
303.7	STD-185	Advice of Change	1	Vendor	-	
			2	Treasury	2	5
			3	DGS Pur/Treasury	2	5
			4	DGS Pur File Copy	**	
			5	Compt-Acctg Cont	***	***
			6	DGS Telecom & Strds	1	
			7	Institution/Other	3	
			8	Bur Off Serv/Agency Procurement	***	
303.8	STD-186	Miscellaneous Encumbrance (Year End Encumbrances) (Contracts)		Compt-Acctg Cont	1*	3
				Auditor General	4	3
				Other	**	
303.9	STD-516	Local Purchase Proposal		Compt-Acctg Cont	1*	3
				Institution	3	
303.11	STD-274	Request for Approval of Out-of-State Travel	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	3
			3	Agency	3	
			4	Compt-Pending	**	
303.12	STD-277	Request for Approval of Moving Expenses		Compt-Acctg Cont	1*	3
				Bureau/Other	3	
303.13	STD-278	Service Purchase Contract	1	Agency	**	
			2	Contractor	-	
			3	Compt-Acctg Cont	1*	3
			4	Treas/Aud General	4	3
			5	Treasury	2	5
			6	Compt-Pending	**	
			7	Bureau/Institution	3	
			8	Procurement	3****	
303.14	STD-279	Out-Service Training Authorization	1	Employee/Trng Source	-	
			2	Compt-Acctg Cont	1*	3
			3	Compt-Pending	**	
			4	Auditor General	4	3
			5	Agency	3	
			6	Agency-Pending	**	
* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference. *** Same as document to which it relates. **** Or for period of contract.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
303.15	STD-291	Request for Lease Action and Budget Approval (DGS reten- tion begins at SRC after cancellation of lease)	1 2 3 4	DGS Bur of Real Estate & Ins Compt-Acctg Cont Auditor General Originator	- 1* 4 1	7 3 3
303.16	STD-187	Requisition for Project Funding	1 2	Compt-Acctg Cont Agency Budget/Pro- gram Area	1* 3	3
303.17	STD-178	Invitation - Bid Proposal	1 2 3	Compt-Acctg Cont Treasury Agency	1* 2 3	3 5
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
304		EXPENDITURE AND SUPPORTING DOCUMENTS				
304.1	STD-125	Voucher Transmittal	1 2 3 4	Treas/Auditor Gen Compt-Acctg Cont Treasury Other	4 1* 2 **	3 3 5
304.2	STD-129	Request for Appropriation Expenditure Adjustment	1 2 3 4 5	Treasury Compt-Acctg Cont Compt/Other Institution Work Copy	2 1* ** 3 -	5 3
304.3	STD-130	Advancement and Accounting Voucher Transmittal	1 2 3 4 5	Treasury Comptroller Treasury Treasury File Institution/Other	2 1* 2 2 7	5 3 5 5
304.5	STD-152	General Invoice	1 2 3	Auditor General Compt-Acctg Cont Payee	4 1* -	3 3
304.8	STD-188	Receiving Report	1 2 3 4 5	Compt-Preaudit Inventory Control Dept-Prod Planng Dept/Institution Receiving Area	*** 1 1 3 1	
304.10	STD-191	Travel Expense Voucher	1 2 3 4 5	Auditor General Compt-Acctg Cont Compt-Employe File Employe Employe Work Copy	4 1* 1* 1 -	3 3 3
304.11	STD-192	Hotel Order	1 2 3 4	Auditor General Vendor Auditor General Compt-Acctg Cont	4 - 4 1*	3 3 3
<p>* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference. *** Same as document to which it relates.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
304.12	STD-193	Transportation Order	1	Auditor General	4	3
			2	Vendor	-	
			3	Auditor General	4	3
			4	Compt-Acctg Cont	1*	3
304.18	STD-521	Publications Authorization and Invoice	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	3
			3	Compt-Vendor	-	
			4	Vendor	-	
			5	Agency-Pending	**	
304.19	STD-522	Telephone Service Request	1	DGS Telecom	***	
			2	DGS Telecom	***	
			3	DGS Telecom	1	2
			4	Compt-Acctg Cont	1*	3
			5	Agency Fiscal Off	1	
			6	Agency Communication		
			7	Requestor	3	
304.20	STD-540	Request for Temporary Transportation	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	3
			3	DGS Vehicle Mgmt	2	
			4	DGS Dispatcher	1	
			5	Vehicle Operator	1	
304.24	STD-119	Voucher Transmittal Accounting Sheet	1	Compt-Acctg Cont	1*	3
304.28	STD-503	Report of Telephone Toll Calls	1	Compt-Acctg Cont	1*	3
			2	Agency	3	
304.29	STD-513	Report of Telegraph Charges	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	3
304.30	STD-133	Request for Approval of Advancement Account	1	Auditor General	4	3
			2	Treasury	2	5
			3	OB Bur of Fin Mgmt	1	3
			4	DGS Bur of Risk Mgmt	7	
			5	Agency Comptroller	1*	3
			6	Institution/Other	7	
304.31	STD-194	Postage Due Record	1	Compt-Acctg Cont	1*	3
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.  *** To be sent to vendor (Telephone Company).</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y  N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORD CENTER
304.33	STD-925	Invoice	1 2 3 4 5	Customer Customer/Compt Accts Receivable Customer/Other Compt-Accts Recvble Compt-Billing	-  ** - 1* **	    3
304.34	STD-273	Emergency Purchase Service	1 2 3 4 5 6 7 8	Agency Contractor Compt-Acctg Cont Treas/Aud General Treasury Compt-Pending Bureau/Institution Procurement	** - 1* 4 2 ** 3 3***	  3 3 5
304.35	STD-526	Special Photo Service Order	1 2 3 4 5	Comptroller CMS Gen Serv Compt Agency Agency	1* 5 1 1 1	3  3
<p>* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference. *** Or for period of contract.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
305		REVENUE AND RECEIPTS DOCUMENTS				
305.2	STD-420	Transmittal of Revenue	1	Auditor General	4	3
			2	Treasury	2	5
			3	Gen Serv Compt - Receipts	1*	3
			4	Compt-Acctg Cont	1*	3
			5	Compt/Other	1	
			6	Compt/Pending	**	
			7	Institution/Other	3	
305.3	STD-417	Adjustment Memorandum from Department of Revenue to Treasury Department	1	Treasury	2	5
			2	Auditor General	4	3
			3	Gen Serv Compt - Receipts	1*	3
			4	Compt-Acctg Cont	1*	3
			5	Compt/Other	1	
			6	Compt Pending	**	
			7	Institution/Other	3	
305.4	STD-418	Debit Memorandum for Checks Returned by Treasury Depart- ment to Revenue Department	1	Treasury	2	5
			2	Auditor General	4	3
			3	Rev Compt - Receipts Section	1*	3
			4	Agency Comptroller	1*	3
			5	Agency Compt/Other	1	
			6	Agency Compt Pending	**	
			7	Institution/Other	3	
305.5	STD-165	Schedule of Revenue Augmenting Current Appropriation	1	Bur of Fin Mgmt	**	
			2	Compt-Acctg Cont	1*	3
			3	Compt-Revenue Sec	**	
305.7	STD-167	Schedule of Refunds of Expenditures	1	Compt-Acctg Cont	1*	3
			2	Compt-Rev Sec	1*	3
305.8	STD-419	Refund of Expenditures	1	Auditor General	4	3
			2	Treasury	2	5
			3	Gen Serv Compt - Receipts	1*	3
			4	Compt-Acctg Cont	1*	3
			5	Compt/Other	1	
			6	Compt-Pending	**	
			7	Institution/Other	3	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
306		MISCELLANEOUS ACCOUNTING DOCUMENTS				
306.1	STD-114	Journal Voucher	1	OB-Bur of Fin Mgmt	1*	
306.2	STD-116 & 116A	Daily (Monthly) Summary of Transactions	1	Compt-Acctg Cont	1*	3
306.3	STD-118	Batch Control Sheet	1	Compt-Acctg Cont	1*	3
306.4	STD-124	Voucher Transmittal Record	1	Compt-Acctg Cont	1*	3
306.6	STD-102	Schedule of Current Appropriations	1	Compt-Acctg Cont	1*	3
306.7	STD-109	Correction Voucher - Alloca- tion Ledger - Corrections of Allocation and Allotment	1	Compt-Acctg Cont	1*	3
			2	Compt-Documents Affected	1*	3
			3	Institution/Field	3	
306.15	STD-164	Centralized Accounting Data Batch Control	1	Compt-Acctg Cont	***	
			2	Compt-Pending	**	
			3	Compt-Proc Center	***	
306.16	STD-189	Payment Record	1	Compt-Acctg Cont	1*	3
306.17	STD-262 STD-262-1	Allotment Schedule	1	Compt-Acctg Cont	1*	3
			2	Compt-Pending	**	
			3	Budget Office	*****	
			4	Agency	3	
			5	Institution	3	
			6	Agency/Inst Pending	**	
<p>* One year or audit and acceptance, whichever is longer. ** Until superseded or obsolete. *** Two months retention only. ***** May be retained in office of origin for six months then discarded.</p>						



ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
306.18	STD-275	Authorization of Signature Card	1 2 3 4	Treasury DGS Bur of Purchases OB Dep Sec for Comp Operations Compt Acctg Cont	** ** ** **	
306.19	TBLDP271	Department Voucher Transmittal Listing		Comptroller Treasury	1* 2	3 5
306.20	TBLCK501	Department Check Register		Comptroller Treasury	1* 2	3 5
306.21	1099			IRS Comptroller Payee	- 1* -	3
306.22		Advancement Account Checks and Statements		Comptroller Institution/Other	1* 7	6
306.23	TD-108	Correction Voucher for Requisitions, Encumbrances, or Expenditures	1 2 3	Compt-Acctg Cont Compt-Doc Affected Institution/Field	1* 1* 3	3 3
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded or obsolete.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
308		ACCOUNTING REPORTS				
308.2	CB51	Commonwealth Trial Balance		OB Bur of Fin Mgmt Comptroller	5 1*	
308.3	BFM17	Status of Appropriation Adjustment Sheet		OB Bur of Fin Mgmt Comptroller	5 1*	
308.8		Status of Appropriation General & Special Funds		Agencies Comptrollers (June & December) OB Bur of Fin Mgmt Miscellaneous	3 1* 1* -	10 10
308.9		General Ledger		Agencies Comptrollers OB Bur of Fin Mgmt	3 1* 1*	10 Perm- anent
* One year or audit and acceptance, whichever is longer.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
309		PAYROLL DOCUMENTS				
309.127	STD-127	Payroll and Deduction Trans- fer Voucher	1	Treasury/Aud General	4	3
			2	Treasury/Rev Compt	1*	6
			3	Treasury	2	5
			4	OB Bur of Fin Mgmt	1*	6
			5	Compt-Acctg Cont	1*	6
309.142	STD-142	Affidavit to Procure Salary and Wages or Traveling Ex- penses Due Deceased Em- ployes	1	Auditor General	4	3
			2	Treasury	2	5
			3	Compt-Acctg Cont	1*	6
309.148	STD-148	Refund-Supplemental Payroll Card	1	Compt-Payroll	**	
309.329	STD-329	Leave Payment Authorization	1	Treasury/Aud General	4	3
			2	Treasury	2	5
			3	Comptroller	1*	6
			4	Agency	3	
309.360	STD-360B	Personnel Authorization	1	Treasury	2	5
			2	Treasury/Aud General	4	3
			3	Civil Service (for Civil Service Employees)	1	6
				OA Division of Em- ployment (for Non- Civil Service Em- ployes)	1	
			4	Comptroller	1*	6
			5	Agency-Signed	3	
			6	Agency-Pending	-	
309.362	STD-362	Temporary Assignment in Higher Classification - Time Record	1	Auditor General	4	3
			2	Treasury	2	5
			3	Compt-Acctg Cont	1*	6
			4	Agency Personnel	**	
			5	Institution/Field	**	
309.400	STD-400	Application for Membership - State Employees' Retirement System	1	SERS	***	
			2	SERS-Acctg Div	**	
			3	Agency Personnel	**	
			4	Compt/Agency File	**	
* One year or audit and acceptance, whichever is longer. ** Until superseded or obsolete. *** Same retention as Retirement Folder of which it is a part.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
309.404	STD-404	Invoice-State Share of Group Life Insurance Premiums	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	6
			3	Compt-Centr Serv	1*	
			4	Employee	-	
			5	Compt-Pending	**	
309.411	STD-411	Direct Billing Premium Re- port	1	Auditor General	4	3
			2	Compt-Centr Serv	1*	3
			3	Compt-Acctg Cont	1*	3
309.439	STD-439	Request for Salary/Wage Advancement	1	Auditor General	4	3
			2	Compt-Pending	**	
			3	Compt-Payroll	1	
			4	Compt-Acctg Cont	1*	6
			5	Personnel Officer	**	
309.901	STD-901	Broken-Time Record	1	Auditor General	4	3
			2	Compt-Acctg Cont	1*	6
309.902	STD-902	Control Total Report	1	Compt-Payroll	**	
309.903	STD-903	Payroll Master Cards (BFM-207 and BFM-207A)	1	Compt-Payroll	**	
309.904	STD-904	Payroll Voucher BFM-201 Salary Register BFM-201B Salary/Wage Sup- plemental Register BFM-202 Wage, Overtime, Shift Differential BFM-203 Reconciliation Register	1	Auditor General	4	3
			2	Compt-Payroll	1	
			3	Treasury	2	5
			4	Compt-Acctg Cont	1*	6
			5	Agency/Institution	**	
309.904A	STD-904	Payroll Voucher BFM-204 Refund Register BFM-204A Ref Reg Summary	1	Compt-Acctg Cont	1*	6
			2	Compt-Payroll	**	
			3	Compt-Payroll	**	
309.910	IRS W-2	Withholding Statement, prior to 1956 (not retained after 1955)	1	Int Rev Serv	-	
			2	Employee	-	
			3	Comptroller	1	49
309.911	STD-911	Employer's Return of Tax Withheld (BFM-135)	1	Wage Tax Collector	-	
			2	OB Bur of Fin Mgmt	2	6
309.918	STD-918	Timekeeper's Worksheet	1	Comptroller	**	
			2	Agency	**	
			3	Compt-Acctg Cont	1*	6
* One year or audit and acceptance, whichever is longer.						
** Until superseded, obsolete or no longer needed for reference.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
309.919	STD-919	Wage Time, Overtime, Shift- Differential Time Report	1 2 3	Auditor General Compt-Acctg Cont Agcy/Inst Timekeeper	4 1* 3	3 6
309.923	STD-923	Notification of Payroll Correction	1 2 3 4 5	Auditor General (In- correct payroll) Compt-Acctg Cont (Incorrect payroll) Auditor General (Correct payroll) Compt-Acctg Cont (Correct payroll) Treasury-Pending	4 1* 4 1* 2	3 6 3 6 5
309.931	941E	Quarterly Return of Withheld Federal Income Tax	1 2	Soc Sec Admin Comptroller	- 1*	6
309.932	W-2C	Statement of Corrected Income Tax and Amounts	1 2	Soc Sec Admin Comptroller	- 1*	6
309.933	W-3C	Transmittal of Corrected In- come and Tax Statements	1 2	Soc Sec Admin Comptroller	- 1*	6
309.936	STD-928	Notice of Vehicle Assignment		Comptroller Automotive Officer	1* 2	6
309.937	STD-931	Manual Payroll Refund Listing		Deduction Acctg Comptroller Outside Agency	1 1 -	6 6
309.938	STD-932	SEAs Employee Share Manual Payroll Refund Listing		SEAs Comptroller File	1 1 **	6 6
309.939	STD-924	Leave Without Pay Time Report	1 2 3	Auditor General Comptroller Timekeeper	4 1* 3	3 6
309.940	STD-929 and STD-C929	Time and Attendance Record	1 2 3	Timekeeper Comptroller Employee	7 *** -	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.  *** Discard all copies of forms not used in sample post audit process. Only those forms audited will be retained seven years.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
310		CENTRALIZED ACCOUNTING SYSTEM AUTOMATED REPORTS				
310.11	BFM7	Monthly Allocation Ledger with Detail Transactions		Comptroller Agency	1* 3	3
310.14	BFM10	Monthly Allotment Ledger with Detail Transactions		Comptroller Agency	1* 3	3
310.20	BFM16	Monthly Open Encumbrances by Account Code		Comptroller Agency	1* 3	3
310.46	BFM42	Monthly Appropriation Ledger with Detail Transactions		Comptroller Agency	1* 3	3
310.74	BFM450	Status of Appropriations		Comptroller OB Bur of Fin Mgmt	1* 5	4
310.75	BFM460	Worksheet for Reconciling Comptrollers Expenditures with Treasury		Comptroller OB Bur of Fin Mgmt	1* 5	4
		All Other CAS Reports		Comptroller Agency	1* or **	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NUMBER	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
312		CENTRALIZED PAYROLL SYSTEM AUTOMATED REPORTS				
312.105	BFM105	Time and Attendance Postaudit Sample		Comptroller	1*	6
312.114	BFM114	Quarter Monthly Report of SERS Deductions - Employee Share		Auditor General State Emp Retire Sys Comptroller	4 1* 1*	3 3
312.116	BFM116	Quarterly Reports of SERS - State Share by Department		Auditor General State Emp Retire Sys Comptroller	4 1* 1*	3 4 3
312.119	BFM119	Quarterly Report of PSERB - State Share		Auditor General Pub Sch Emp Ret Sys Comptroller	4 1* 1*	3 Perm 3
312.120	BFM120	Monthly PSERB Retirement Deductions		Auditor General Pub Sch Emp Ret Sys Comptroller	4 1* 1*	3 Perm 3
312.137	BFM137	Municipality Annual Gross Earnings Report		Municipality OB Bur of Fin Mgmt	- 1*	- 6
312.139	BFM139	Wage Tax Payee Transaction Report		Auditor General Comptroller	4 1*	3 3
312.144	BFM144	Monthly Blue Cross/Blue Shield Premium Report by Department		Auditor General Comptroller Capital Blue Cross	4 1* -	3 3
312.152	BFM152	Quarterly Group Life Insurance Premium Report		INA Auditor General Comptroller QA Personnel	- 4 1* **	- 3 3
312.172	BFM172	Tax Sheltered Annuity Premium Report		Auditor General TSA Carrier Comptroller	4 - 1*	3 -
312.177	BFM177	Monthly SECA Deduction Report by Department		Auditor General United Way of PA Comptroller	4 - 1*	3 -
312.185	BFM185	Quarterly Report of State Per- sonal Income Tax by State		Auditor General State Pers Inc Tax Comptroller	4 - 1*	3 -
312.185A	BFM185A	Monthly Report of State Per- sonal Income Tax by State		Auditor General State Pers Inc Tax Comptroller	4 - 1*	3 -
* One year or audit and acceptance, whichever is longer. ** Until superseded or obsolete.						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
312.192	BFM192	Monthly Union Dues Deduction Report & Summary		Auditor General Union Comptroller	4 - 1*	3  3
312.198	BFM198	Pay Increase - LWOP Employees		Comptroller Personnel	1* **	6
312.210	BFM210	QTD and YTD Employee Payroll Totals		Comptroller State Emp Ret Sys	1* **	49
312.222	BFM222	Pay Increase Change List		Auditor General Treasury Comptroller Personnel	4 2 1* **	3 5 6
312.227	BFM227	Pay Increase Supplemental Pay List		Auditor General Treasury Comptroller	4 2 1*	3 5 6
312.227B	BFM227B	State Police Clothing Allowance Supplemental Pay List		Auditor General Treasury Comptroller	4 2 1*	3 5 6
312.227C	BFM227C	Corrections Officers & Psychiatric Security Aides		Auditor General Treasury Comptroller	4 2 1*	3 5 6
312.227D	BFM227D	Drivers License Examiners Clothing Allowance		Auditor General Treasury Comptroller	4 2 1*	3 5 6
• 312.227F	BFM227F	Quarterly Stress Impact Payments		Comptroller Treasury	1* 2	6 5
• 312.227G	BFM227G	Annual Clothing Allowance		Comptroller Agency Treasury	1* 3 2	6  5
312.228	BFM228	Overtime Record Listing		Auditor General Treasury Comptroller	4 2 1*	3 5 6
312.229	BFM229	Shift Differential Supplemen- tal Pay List		Auditor General Treasury Comptroller	4 2 1*	3 5 6
312.234	BFM234	Quarter Monthly Financial Institution Deduction by Institution		Auditor General Comptroller Institution	4 1* **	3 3
312.240	BFM240	Temporary Assignment in Higher Classification - Time Record		Auditor General Comptroller Institution	4 1* **	3 6

\* One year or audit and acceptance, whichever is longer.  
 \*\* Until superseded or obsolete.



ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
312.244	BFM244	Health & Welfare Contribution Report		Auditor General Comptroller H & W Fund	4 1* -	3 3
312.253	BFM253	Occupational Privilege Tax Payee Transaction Report		Auditor General Comptroller Tax Collector	4 1* -	3 3
312.254	BFM254	Municipality Annual Occupational Privilege Tax Report		Municipality OB Bur of Fin Mgmt	- 1*	6
312.263	BFM263	TIAA-CREF Retirement Semi-Monthly Contribution Report		Auditor General Comptroller TIAA-CREF	4 1* -	3 3
312.270	BFM270	Payroll Deduction Listing		OB Bur of Fin Mgmt	1*	3
312.275	BFM275	Report of Social Security Deductions		Auditor General Comptroller Soc Sec Bureau	4 1* -	3 3
312.279	BFM279	Federal Withholding Tax Deposit Listing		Auditor General Comptroller	4 1*	3 3
312.280	BFM280	Annuitants Medical Hospital Premium Report		Auditor General Comptroller Capital Blue Cross	4 1* -	3 3
312.291	BFM291	State Summary Quarterly Report for UC Employee Withholding		Auditor General Comptroller Office of Emp Sec	4 1* 3	3 3
312.292	BFM292	Quarterly Group Life Insurance Premium Report		Auditor General Comptroller Insurance Company	4 1* -	3 3
312.294A	BFM294A	Payroll Miscellaneous Encumbrance by Cost Center		Comptroller	1*	3
312.294D	BFM294D	Liquidation of Miscellaneous Encumbrance by Organization		Comptroller	1*	3
		* All Other Payroll Reports		Comptroller Agency	1* or **	

\* One year or audit and acceptance, whichever is longer.

\*\* Until superseded, obsolete or no longer needed for reference.

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
314		LOAN ACCOUNTING SYSTEM AUTOMATED REPORTS				1
314.30	BFM330	Annual Loan Ledger Trans- actions and Status		Comptroller Agency	1* 3	3
		All Other Loan Accounting Reports		Comptroller Agency	1* or **	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORD CENTER
315		HOUSING & URBAN DEVELOPMENT AUTOMATED REPORTS (HUD)				
315.21	BFM370	HUD Monthly Project Update with Detail Transactions		Comptroller	1*	3
315.27	BFM376	Monthly Trail Balance		Comptroller	1*	3
315.31	BFM380	Detailed Balance Sheet - Philadelphia		US Dept of Housing & Urban Develop- ment Comptroller	- 1*	
315.32	BFM381	Detailed Balance Sheet - Pittsburgh		US Dept of Housing & Urban Develop- ment Comptroller	- 1*	
		All Other HUD Reports		Comptroller Agency	1* or **	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
316		REVENUE AND RECEIPTS ACCOUNTING REPORTS				
316.01	BFM601	Report of Revenue and Receipts		OB Bur of Fin Mgmt (July - May) OB Bur of Fin Mgmt (June) Treasury Rev - Policy Evalu- ation & Analysis Central Serv Compt	1*   2 7 **	   5   3
316.02	BFM602	Summary Report of Revenue and Receipts		OB Bur of Fin Mgmt Central Serv Compt.	1*	
316.03	BFM603	Monthly Trial Balance of General Ledgers		OB Bur of Fin Mgmt OB Bur of Fin Mgmt (June)	1* 7	
316.13	BFM618	Daily Report of Revenue & Receipts Transaction		Comptroller	**	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
317		AUTOMATED CENTRAL INVENTORY ACCOUNTING SYSTEM REPORTS (CIA)				
317.21A	BFM670A	Monthly Job Inventory Detail Transactions		Comptroller Agency	1* 3	3
317.21B	BFM670B	Monthly Job Inventory Detail Transactions		Comptroller Agency	1* 3	3
		All Other CIA Reports		Comptroller Agency	1* or **	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
318		AUDIT REPORTS				1
318.1A		Auditor General Audits of Admin- istrative Departments, Boards, Commissions and Local Agencies		Agency Comptroller OB Bur of Audits	3 6 6	
318.1B		Audit Report Replies		Agency Comptroller OB Bur of Audits	3 6 6	
318.2A		Auditor General Audits of School Districts		Agency Comptroller OB Bur of Audits	3 2 6	5 6
318.2B		Auditor General Audits of Pension Funds		Agency OB Bur of Audits	3 6	6
318.4		CPA or State Audits of Sub- recipients under Federal or State Programs (including Sub- recipient Single Audit Reports)		Agency Comptroller	3 2	5 5
318.5		Operational Audits and Responses		Agency Comptroller OB Bur of Audits	3 2 2	5 5 5

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	COPY NO.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
319		ACCOUNTS RECEIVABLE/BILLING REPORTS				
319.1	BFM509	Daily Transaction Listing by Type	1 2 3	Comptroller Agency OB Bur of Fin Mgmt	1* 3 **	3
		All Other Accounts Receivable/Billing Reports		Comptroller Agency	1* or **	
<p>* One year or audit and acceptance, whichever is longer.  ** Until superseded, obsolete, or no longer needed for reference.</p>						

ITEM NUMBER	FORM NUMBER	RECORD SERIES TITLE	C O P Y N O.	COPY DISTRIBUTION	RETENTION PERIOD (YEARS)	
					AGENCY	STATE RECORDS CENTER
320		INTEGRATED CENTRAL SYSTEMS REPORTS				
320.1	XABC617	Allocation Level Transaction Update		Comptroller Agency	1* 3	3
320.2	XABC6410	Monthly Allotment Ledger with Detail Transactions		Comptroller Agency	1* 3	3
320.3	XACE6612	Monthly Open Encumbrances by Account Code		Comptroller Agency	1* 3	3
320.4	XABC616	Appropriation Level Transaction Update		Comptroller Agency	1* 3	3
320.5	XABC073	General Fund Status of Appropriations		Comptroller Agency OB Bur of Fin Mgmt	1* 3 5	4
320.6	XABC076	Special Fund Status of Appropriations		Comptroller Agency OB Bur of Fin Mgmt	1* 3 5	4
320.7	XABC633	Worksheet for Reconciling Comptrollers Records with Treasury		Comptroller Agency OB Bur of Fin Mgmt	1* 3 5	4
320.8	XASA609	Transaction Report by Grant Within Funding Source		Comptroller Agency	1* 3	3
320.9	XASA606	Funding Source Activity by Grant		Comptroller Agency	1* 3	3
320.10	XASA601B	Summary of C&E by Program Measure		Comptroller Agency	1* 3	3
320.11	XASA602B	Summary of C&E by Budget Category		Comptroller Agency	1* 3	3
320.12		Schedule of Federal Grants		Comptroller Agency	1* 3	3
		All Other ICS Reports		Comptroller Agency	1* or **	
* One year or audit and acceptance, whichever is longer. ** Until superseded, obsolete, or no longer needed for reference.						



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE		1100	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
144	<u>Aid to Dependent Children</u> - Study Files PA 641, Study of Characteristics of Aid to Dependent Children		1½	-	1
150	<u>Minutes Files</u> - County Boards of Assistance Transcripts of Monthly or Semi-monthly meetings		2	5	4
151	<u>State Plan (after obsolescence)</u> - Material and correspondence concerning the contract between the United States Department of Health, Education and Welfare and the Office of Public Assistance		2	2	1
153	<u>Public Assistance Medical Case Files</u> - Medical and Social data with related correspondence concerning applicants for Public Assistance based on disability or blindness or for special medical appliance or treatment. Also medical histories and related correspondence concerning the appointment of Guardian or Trustees. Including PA 60-W, Medical Work Sheets, PA 60-WA Control Card, PA 60-WS, Social Work Sheet and PA 60-WR, Record Work Sheet		2	-	1
154	<u>Resources Investigation files</u> - Correspondence with various agencies, companies and legally responsible relatives requesting information about persons applying for or receiving Public Assistance		2	-	1
155	<u>Auditor General's Audit Files</u> - AG 1 Auditor General's Department Eligibility Audit, DPA 157, Report on Exceptions, with related correspondence concerning Audits of Public Assistance Offices		1 mo.	5 yrs. 11 mos.	3
157	<u>General Correspondence Files - Public Assistance Program</u> - Correspondence from applicants, recipients and other concerning the Public Assistance Program, its laws and rules and regulations		2	-	1
196	<u>General Correspondence - Office of the Commissioner</u> - Routine correspondence, request for information, replies, correspondence with County Assistance Boards and related data		2	-	1
197	<u>Administrative Correspondence - Office of the Commissioner</u> - Correspondence with the Federal Government, Legal Council, Secretary of the Department and other agencies concerning policy questions		10	-	1
199	<u>County Case Review Files</u> - Summary of Reviews of specific cases in Counties to determine validity of assistance grants		5	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE		1100	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	M-OROL-JE	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
200	<u>Policy Interpretation File</u> - General Correspondence with County Boards of Assistance and Headquarters Offices concerning the interpretation of policy and decisions reached which established changes in or the creation of policy		7	-	1
201	<u>County Summaries</u> - Biannual reviews of the operations of County Boards of Assistance with supplementary data		5	5	1
204	<u>Legal Advice Records</u> - Opinions and Letters of Advice from the Attorney General		10	-	1
233	<u>Quality Control Card, PA 96</u> - A card record of each case action from which a random sampling is taken for detailed casework analysis		3 mos.	3 yrs. 9 mos.	1
252	<u>Quality Control Records</u> - Evaluation Report with Correspondence		1	3	1
254	<u>Public Assistance History File</u> - PA Memos - General Letters with Index Report on Relief by Joint State Government Commission		10	25	1
358	<u>Cash Grant Eligibility Examination</u> - Report of Audits (Form PA 550) concerning County Assistance Offices and related correspondence and documents		1 mo.	2 yrs.	3
412	<u>Statistical Evaluations</u> - Surveys, Studies and Reviews - includes worksheets, forms, reference materials, printouts, and related documents and materials *Retain in operating area as long as required		*	-	1
434	<u>PA 93's Sample Data on Medical Assistance</u> **Destroy after tab cards are punched		**	-	1
532	<u>Food Stamp Outreach Program Files</u> - Includes 1. General Correspondence Files 2. State Plans 3. Cost Data Files 4. Statistical, monthly, and semi-annual reports of participating counties 5. Data Files of all agencies cooperating in the Food Stamp Outreach Program *Destroy after three years or Federal Audit whichever occurs first		3	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE		1100	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
533	<u>Quarterly Random Sample Reports - PA 17</u> - Time Reports of CBA case-workers which show time spent on various programs so that HEW Grant Funds may be properly allocated  *Records involved in an audit prior to reaching destruction date are retained until audit is completed and any discrepancies are resolved		1	2*	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF SPECIAL INVESTIGATIONS		1110	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
492	<u>Fraud and Abuse Records</u> - Includes cases on employe fraud, Restitution Complaints, medical fraud cases, public assistance fraud cases, outside fraud cases, etc. (Retain in Agency one year after case is closed then transfer to Records Center.)		1	6	1
493	<u>Federal and State Statistical Reports</u> - Includes all reports on fraud cases and all related correspondence and documents		10	-	
494	<u>Reference Index File</u> - Cross Index reference for fraud cases (3 x 5 files)		7	-	1
585	<u>Case Assignment Cards (After Closing of Case)</u> - Assignment cards for all cases investigated by the Special Investigations Unit		7	-	1

OFFICE OR AREA DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF EMPLOYMENT AND DEVELOPMENTAL PROGRAMS		OFFICE CODE  1120	DISPOSAL CODES 1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
566	<u>General Correspondence Files</u> - Routine correspondence and related documents covering the operations of the Employment Programs Unit		3	-	1
567	<u>Comprehensive Employment Training Act Files</u> - Includes: 1. Contracts for employment positions at EPW installations. 2. Invoices for reimbursement of expenditure. 3. Statistical Records. 4. Record copies of participant records and payroll change sheets. 5. General program correspondence and regulations relating to the CETA program.		3	-	1
568	<u>Indochinese Refugee Relief Program Files</u> - Includes: 1. Contracts for purchase of Social Services. 2. General correspondence relating to this program. 3. Statistical Data.		2	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF CLAIM SETTLEMENT		1150	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
29	<u>Assigned Assets Record Card (after asset disposed of or claim settled)</u> - Index Card for personal property or assets assigned to the Department in connection with a Public Assistance claim showing total value of asset and amount collected from the asset		3	-	1
32	<u>General Correspondence</u> - Routine correspondence and related documents concerning the operations of the Bureau		3	-	1
34	<u>Public Assistance Transmittals</u> - Copies of PW 361, PW 361-S, Standard Transmittal		2	-	1
38	<u>Unemployment Compensation</u> - Correspondence Files - Copies of PA 186-UC, letter sent to Assistance recipients scheduling appointments in connection with Public Assistance claim based on Unemployment Compensation		1	-	1
39	<u>Guardianship Files (after appointment of Guardian)</u> - Copies of PA 50, Request for Appointment of Guardian, with related documents and correspondence		1	2	1
40	<u>Lien and Property Reports</u> - Copies of PA 173-LP, Lien and Property Report, received from Claim Settlement Area Offices instructing State Office to execute order to satisfy judgment when claim has been settled		½	1½	1
41	<u>IBM Lien File (after lien is satisfied or no further action to be taken)</u> - IBM Master File of all Public Assistance liens. Used to notify area offices of liens that must be revived within a certain period		1 yr. 2 mos.	-	1
42	<u>Register of Referrals to Department of Justice Attorney (after closing)</u> - Index Card for each case referred by Claim Settlement Division to Department of Justice concerning a Public Assistance Claim		2	-	1
44	<u>Property Account Cards (After property is sold or disposed of)</u> - PA 177 Account Cards - Record of Individual Accounts PA 177P Property Account Cards - Record of Expenditures and Income from Properties		15	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF CLAIM SETTLEMENT		1150	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
50	<u>General Correspondence</u> - Director's Office, Routine correspondence and related documents concerning the operations of the Director's Office including correspondence on administrative matters, with the Department; correspondence with other Departments and Agencies		3	-	1
159	<u>General Subject Files (Inactive)</u> - Administrative reports, studies and instructions to Area Office concerning operations of the Claim Settlement Bureau		-	10	1
161	<u>Department of Justice Attorney Files</u> - Correspondence and related documents concerning the appointment of Attorneys in each County		10	-	1
162	<u>Uniform Support Files</u> - Correspondence with court officials in counties and other States concerning the enforcement of the Uniform Support Law		10	-	1
239	<u>Public Assistance Claim Folder (after closing)</u>		6 mos.	2 yrs. 6 mos.	1
249	<u>Property Lien Notices - Cards (after closing)</u> - Records of recorded judgments against the property of public assistance recipient. The case file concerning this judgment is destroyed 2 years after case is closed		4	21	1
375	<u>Claims Records and Receipts</u> - PW 171-K Transfers Between Accounts PW 171-T Correction Record PW 172-CS Claims Receivable Control PW 172-HS Claims Receivable Master Control PW 174 Transmittal of Revenue PW 174-R Summary of Collections PW 174-S Summary of Collections and Adjustments PA 174-66 174-99 Adjustment and Contra Adjustment PW 175 Official Receipt PA 175-N Petition for Refund PW 175-R Property Receipt PW 175-S Settlement Sheet PA 181 Monthly Report of Claims and Collections PA 181-N Numerical Report PA 190 Claims Established (Retain one full calendar year plus the current calendar year)		3	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL RETARDATION		1300	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
133	<u>General Correspondence</u> - All correspondence developed for the signature of the Deputy Secretary and reports concerning operation of the Deputy Secretary's Office. Also, special case correspondence such as inquiries from legislators and advocates on specific MR cases		3	-	1
523	<u>Administrative Files</u> - Includes personnel materials and records, in house operating rules, regulations, and other requirements, intradepartmental reports		2	-	1
588	<u>Contract Files</u> - Includes copies of contracts with providers and related material		5	3	1
590	<u>Meeting Minutes and Consumer Relations Files</u> - Includes position papers, numerical memorandums, minutes of meetings from various agencies associated with the office and correspondence with agencies such as PARC, county MH/MR administrators association, and county MH/MR providers associations		2	-	1
591	<u>MR Program Regulations and Internal Administrative Procedures</u> - Includes DPW Secretary's Directives and Regulations developed by OMR to implement and regulate OMR Programs. (Retained five years or until obsolete, rescinded, withdrawn, or superceded.)		5	-	1



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF PERSONNEL SERVICES BUREAU OF PERSONNEL		1716	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
165	<u>Recruitment and Placement Activity Files</u> - Correspondence and related information concerning recruitment and placement of personnel		1	-	1
166	<u>General Correspondence Files</u> - Routine day-to-day correspondence within the Department, other Agencies, Federal Government, private companies, and individuals concerning personnel matters		1	-	1
167	<u>Statistical Reports</u> - Showing personnel complement of offices and institutions		1	-	1
168	<u>Employee Appeal Files</u> - Transcripts of appeals together with adjudications		3	3	1
234	<u>Exit Interviews</u> - PW 377, for each employee leaving the Department		1	-	1
255	<u>Organization and History of Bureau of Personnel</u>		5	25	1
435	<u>Program Training Files</u>		2	2	1
436	<u>Professional Education Program Files</u> - Files relating to students currently participating in or committed to, Program		1	4	1
437	<u>Professional Education Program Claim Files</u> - Where claim is in process		2	4	1
438	<u>Correspondence files relating to rejections</u>		1	-	1
439	<u>Correspondence files of informational nature</u>		1	-	1
440	<u>Tuition Reimbursement and Specialized Course Training Files</u> - Correspondence relating to reimbursement of tuition fees for completed courses		1	2	1
441	<u>Correspondence relating to Specialized Course Training</u>		1	-	1
442	<u>Physicians' Annual Recognition Awards files for training</u> - Correspondence relating to participants, courses attended, credits received		1	2	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF PERSONNEL SERVICES BUREAU OF PERSONNEL		1716	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CODE
			UNIT AREA	STATE RECORDS CENTER	
534	<u>Labor/Management Files, Includes:</u> 1. Minutes of Labor/Management Meetings 2. Agendas for meetings 3. Miscellaneous Correspondence/Memorandum relating to Labor/Management matters and programs 4. Grievance Files and Papers Pertaining to this file 5. Contract negotiation papers/materials of all unit/Unions Representing Employees in DPW 6. Arbitration Award File 7. Strike Information/Data/Guideline File		3	-	1
609	<u>Code of Conduct Forms and Act 170</u> <u>Financial Disclosure Records</u>		4	0	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL RETARDATION OFFICE OF FIELD OPERATIONS		1390	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
134	<u>Case Files - Mentally Retarded Residents (After Closing)</u> - Case files for each mentally retarded resident known to the Department, including correspondence and related documents		2	-	3
135	<u>General Correspondence - Institutions</u> - Includes files for each institution for mentally retarded residents, state-owned or state operated, including correspondence and related documents other than that concerning an individual resident		2	-	1
137	<u>Waiting List Card File (After Removal)</u> - Card for each mentally retarded resident for which application for admission to a State institution has been made and who is waiting to be admitted, (Form MH-67, Statistical Record of Resident Added to Books or Waiting Lists)		6 mos.	-	3
593	<u>Grant Files for Foster Grandparent Program</u> - Includes financial records and reports, supporting documents, statistical records, property records, and all other records pertinent to a grant project. (Retain five years or until audited, whichever is later.)		0	5	4
594	<u>Personnel Files for Foster Grandparent Program</u> - Includes resumes of program staff, evaluation reports of staff and applications of foster grandparents. (Retain two years after personnel have been disassociated with the program.)		2	-	1
603	<u>Report Files</u> - Includes reports/reviews submitted by the Bureau on various subjects/areas, i.e., IP narrative and supplemental documentation which has historic significance. Also includes data analysis relating to institutional population and services provided.		1	2	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF PERSONNEL SERVICES BUREAU OF PERSONNEL PLANNING & DEVELOPMENT		1711	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
524	<u>Study Folders</u> - on civil service and non-civil service job classifications; back-up materials and working papers for these studies. (Basic file is retained for 3 years after completion of study; selected working papers, reference materials, and back-up papers are destroyed upon completion of study)		3	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL RETARDATION OFFICE OF PROGRAM AND POLICY DEVELOPMENT		1310	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
319	<u>Mental Retardation Elementary and Secondary Education Project Grant Records</u> - Includes applications, field reports, correspondence, evaluation and program development of projects for handicapped children in day care centers and licensed facilities for mentally disabled		5	3	3
484	<u>Federal Applications for Construction Grants</u> - Correspondence and other related materials		5	15	1
514	<u>Organizational and History Files</u> - History of the development of the Bureau as it was organized to implement a new program entailing licensing and supervision of workshops and Work Activity Centers under the Pennsylvania Workshop Standards		1	2	4
515	<u>General Correspondence Files</u> - Routine correspondence and related documents covering the operations of this Bureau, including correspondence pertaining to interdepartmental and intradepartmental matters, evaluation procedures and followup reports of the evaluation procedures		3	-	1
516	<u>Minutes Files</u> - Includes Advisory Board Minutes, Governor's Committee on Services for the Handicapped, Executive Staff minutes, and Program Staff meeting minutes		1	-	1
517	<u>Resource Files for Technical Assistance Purposes</u> - Includes files on data/information on vocational evaluations, job placement, behavior modification, rehabilitation management, production methods and time studies for approximately 150 facilities involved in this program		2	-	1
518	<u>Training Files</u> - Includes reports, correspondence and training materials concerning the training of Survey Team members and Facilities Staff		2	-	1
519	<u>Legislative and Regulatory Reference Files</u> - Correspondence and related materials concerning Federal and State Legislative bills/acts and resultant regulatory materials that effect the operations of the Bureau. (Retain 5 years or until obsolete rescinded, withdrawn or superceded.)		5	-	1
520	<u>Grant Files</u> - Reports and related correspondence concerning the initial grant accountability. (Retain 1 year after expiration of grant or until audit and acception whichever is longer.)		1	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL RETARDATION OFFICE OF PROGRAM AND POLICY DEVELOPMENT		1310	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
521	<u>Statistical Report</u> - Includes forms, correspondence and related materials used in preparation of reports, i.e., monthly population reports, implementation reports on new programs, monthly vacancy reports		5	5	1
522	<u>Annual Work Plan</u> - Includes materials for preparing and implementing a work plan to accomplish approximately 150 facility site reviews; includes scheduling of site visits, distributing resultant site reports, and all necessary followup activities		1	2	1
547	<u>Program Analysis of Service Systems (Reports)</u> - Includes evaluation reports on community living arrangements residential programs, records of program analysis of service systems, workshop/seminar materials, and miscellaneous correspondence pertaining to these evaluation and records.		2	8	1
589	<u>Budget/Program Review Files</u> - Includes materials related to program analyses/reviews, PRR's, program operations, general assembly appropriation hearing materials and budget file papers.		3	-	1
592	<u>Legislative and Regulatory Reference Files</u> - Includes materials relative to State and Federal legislative bills/acts, regulatory documents effecting operations of this office, and significant court cases		4	-	1
595	<u>County MH/MR Annual Plans</u> - Annual Plans from each county MH/MR unit detailing the provisions of MR services in each administrative unit and projections for future services based on needs		3	2	1
596	<u>Administrative Files</u> - Includes data/materials relating to Civil Service operations and Manpower deliberations pertaining to staff classifications and job descriptions; materials relevant to interdepartmental liaisons of central office staff who administer CLA programs; CLA appraisals; CLA county checklists and related CLA materials; selected institutional dispersal materials/documents		3	3	1
597	<u>Family Resource Services Program Files</u> - Includes annual county family resource service program plans and family resource services program annual and semi-annual expenditure/income reports. (MH/MR)		2	1	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL RETARDATION OFFICE OF PROGRAM AND POLICY DEVELOPMENT		1310	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
598	<u>CLA Organizational, History, Policy, and Regulation Files</u> - Includes implementation packets on information/histories of developing CLA programs; regulations and back-up materials used in development for CLA policies and regulations that are Non-CLA specific but impact on CLA programs; Federal and State regulations required in making CLA policy; requests for legal opinions; professional literature relating to CLA program		5	5	1
599	<u>DD-CLA Contract Files</u> - Includes copies of Departmental contracts with providers, and related materials on reports of agencies hired to furnish training to staff		5	3	1
600	<u>Budget and Planning Data</u> - Includes fiscal data records relating to CLA expenditures/funding position slots; county and regional fiscal information pertaining to CLA operations; copies of county annual CLA plans and resultant annual program requests (PRR's); correspondence relating to CLA planning; training files necessary to implement budget and planning operations		5	5	1
601	<u>Evaluation Reports Files</u> - Includes PASS and PEP evaluation reports and related correspondence		3	0	1
602	<u>Position Papers RE: Private Licensed Facilities</u> - Includes materials on DPW/OMR positions on issues relating to private licensed facilities		5	-	1
604	<u>Medical Assistance Files (SNF and ICF/MR)</u> - Correspondence related to Medical Assistance compliance, including deficiency and plan of correction reports, Federal communications (validation surveys), correspondence and reports from the PA Department of Health, Department of Labor and Industry, and offices within DPW		2	5	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL HEALTH		1500	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
9	<u>Resident Population-State Mental Institution</u> - Tab card for each patient in a Mental Institution at the end of the fiscal year		*		1
10	<u>Admission to Mental Hospitals</u> - Tab card for each patient admitted to a Mental Institution during a fiscal year		*		1
11	<u>Deaths and Discharges-State Mental Institutions</u> - Tab card for each patient removed from a Mental Institution during a fiscal year		*		1
12	<u>Leave or Parole File - State Mental Institutions</u> - Tab card for each patient on leave or parole at the end of a fiscal year		*		1
13	<u>Out-patient Psychiatric Clinic - Termination Records</u> - Tab card for each patient treatment for which service has been terminated during a fiscal year		*		1
14	<u>Change in Status of Mental Patients</u> - Tab card showing any change in status of patients in Mental Institutions during a fiscal year		*		1
15	<u>State Aided Hospital Files</u> - Tab card for each Hospital receiving state aid during a fiscal year. Card shows amount and type of service		*		1
121	<u>Deportation Case Files</u> - Correspondence and reports concerning mental patients transferred to or from Pennsylvania		5	-	1
123	<u>General Correspondence - Deputy Commissioner's Office</u> - Routine correspondence with related documents concerning the operation of the Deputy Commissioner's Office including inquiries and replies not made a part of any specific record		2	-	1
124	<u>Boards and Committee Meeting Files</u> - Minutes, reports and related correspondence concerning various meetings which affect the Mental Health Program **Retain as long as required		**		
125	<u>Mental Hospitals - Boards of Trustee</u> - Files Copies of minutes of the meetings of the Boards of Trustees of the Mental Hospitals		1	-	1
*Destroy after hard copy printout is produced					



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL HEALTH		1500	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
126.	<u>Budget Files</u> - Copies of budget material with related documents and correspondence including instructions concerning the Budgets of the Office of Mental Health		2	-	1
129	<u>General Correspondence - Bureau of Mental Health Services</u> - Routine correspondence and supporting data concerning the day to day operations of the Bureau not made a part of any specific file		2	-	1
130	<u>State Supervised Institutions - History Files (after closure)</u> - Copies of WMH 27, Application for License, investigation and other reports with related correspondence		2	-	1
131	<u>Reports Files - Bureau of Mental Health Services</u> - Including Budget Reports from Boards of Trustees of Institutions, statistical reports and field visit reports with related correspondence		2	-	1
132	<u>Patient Activities Report Files</u> - Including Occupational, Recreational and Industrial Therapy reports and related correspondence with Individuals, private agencies and municipal agencies		4	-	1
139	<u>General Correspondence - Community Mental Health Service</u> - Including inquiries, replies reports and related documents concerning voluntary mental health organizations and county organizations relative to Mental Health Services		2	-	1
140	<u>Grant Files - Community Mental Health Services</u> - Request with related correspondence concerning grants to communities toward the cost of operating Community Mental Health facilities or Sheltered Workshops. Including request for grant, report of evaluation, recommendations, agreements, statement of budgetary provisions and allotment		2	2	1
143	<u>Outpatient Psychiatric Clinics</u> - Termination Files - DPW MH OASI SI and MH, Patient Termination Records		1½	-	1
147	<u>IBM Tabulation Files</u> - Tab listing of Admissions, deaths, discharges resident patients, movement of patients in State Mental Institutions		2	2	1
160	<u>Medical Investigation Reports</u> - Concerning charges made against participants in the Public Assistance Medical Program		4	6	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL HEALTH		1500	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
188	<u>History Files of all State Mental Hospitals (after closing)</u> - Historical development and periodic inspection reports of all State-owned and State supervised Mental Institutions		2	10	1
189	<u>Case Records and By-laws of State Mental Institutions (discontinued since 1958)</u> - Patient case records and operating procedure of State Mental Institutions		-	3	1
190	<u>Annual and Biennial Reports (Discontinued since 1958)</u> - Administrative and operating reports from State Mental Hospitals		-	3	1
191	<u>Miscellaneous Correspondence File (discontinued since 1961)</u> - Correspondence and material relating to the functions and duties of the Bureau of Mental Health Services		-	3	1
192	<u>Patient Report Forms</u> - Including MH 39, Notice of Removal, MH 65, Accident Report, MH 68 Notice of Escape		1	-	1
193	<u>Statistical Source Documents Concerning Patients at Mental Health Facilities including:</u> 1. Death and Discharge Records 2. Public Mental Health Facilities 3. Psychiatric Units at State General Hospitals 4. Discharges from Work Shops and Psychiatric Day-Nite Units 5. Movement of Patient Population in Public Mental Health Facilities 6. Change in status at State Mental Hospitals		1	3	1
194	<u>Annual Statistical Report - Mental Institutions</u> - Copies of reports to Federal Government concerning admissions, discharges, deaths, and movements of mental patients		6	14	1
195	<u>Monthly Census Reports on Private Mental Hospitals</u> - Monthly movement of population, MH 112		-	3	1
244	<u>Patients Case Records, Mental Hospitals (after closing)</u>		2	-	1
299	<u>Application for Construction for Community Mental Centers</u> - Application together with supporting request to construct Mental Health Centers		2	10	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MENTAL HEALTH		1500	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
300	<u>Employee Staffing Records</u> - to support Federal Grant concerning staffing in community Mental Health Centers		2	10	1
301	<u>Correspondence concerning staffing of Community Mental Health Centers</u>		2	5	1
302	<u>Comprehensive Mental Health/Mental Retardation planning material</u> - including Task Force Reports, Regional Reports, and correspondence		2	5	1
348	<u>Annual Plan and Estimate for MH/MR Units (Master)</u> - Detail report of plan and expenditures of all County Mental Health and Mental Retardation Units with review data. Also includes County MH/MR Title XX Plans plus related data and correspondence		3		1
349	<u>County Operations File MH/MR Units</u> - Annual folders of activity within Mental Health and Mental Retardation Units in Counties		1	4	1
469	<u>Comprehensive Mental Health Planning Files</u> - Includes correspondence reports, and other materials relating to comprehensive Mental Health Planning *Retain for life of project or until program is defunct		5*	-	1
564	<u>Mental Health Liability Abatement Review Files</u> - Individual case files of patients/clients in the County Mental Health Programs who have requested a review of their liability for possible abatement or modification. Includes correspondence and other related material.		3	1	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR CHILDREN, YOUTH AND FAMILIES		1600	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
82	<u>General Correspondence - Commissioner's Office</u> - Correspondence and reports concerning the operations of the Commissioner's Office in connection with child welfare organization and committees		5	-	4
86	<u>General Correspondence - Office for Children and Youth</u> - routine correspondence and documents concerning the overall operations of the Office for Children and Youth		7	-	1
106	<u>General Correspondence - Training Program</u> - Correspondence with various organizations and committees, minutes of meetings and related reports		3	-	1
392	<u>Records on payments to county child welfare programs</u> - Federal plans and programs for Title IVB funds and related materials, and correspondence, county child welfare services invoices and related documents, day care invoices for physically handicapped and related documents and correspondence *Seven years or until after federal audit, whichever is longer		7*	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR CHILDREN, YOUTH & FAMILIES OFFICE OF PROGRAM & POLICY DEVELOPMENT		1610	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
88	<u>Interstate Compact Case Files (after closing)</u> - Correspondence concerning the supervision of Juveniles from other States living in Pennsylvania		1	4	1
89	<u>General Correspondence - Special Services</u> - Routine Correspondence and reports concerning special services such as Foster Care, Group Care and Day Care; including correspondence with the Federal Government and Consultation with Counties and Agencies		3	-	1
90	<u>Supervised Agencies or Institution Files (after closing)</u> - Case files for Agencies or Institutions supervised by Office for Children and Youth including reports of supervisory visits with related correspondence and documents		2	5	1
93	<u>General Correspondence - Staff</u> - Training Routine correspondence, bulletins memoranda, study outlines and training material concerning the staff training program		2	-	1
94	<u>Day Care Centers for Children History Files -(after closing)</u> - Including Applications for Licenses and Renewal of Licenses (CY 451), reports of investigations and visits with related correspondence		2	3	1
95	<u>Adoption Resources Exchange</u> - Files Case File on each hard to place child or persons wishing to adopt children. (Files destroyed when adoption is complete)		-	-	1
97	<u>Annual Statistical Report Files</u> - Including CY 28, Annual Statistical Report Reports for Public and Private Child Caring Agencies, CY 28-I, Annual Statistical Report for Child Caring Institutions, CY 29, Annual Statistical Reports for day care centers and CY 31, Annual Statistical Reports for Maternity Care, with related correspondence		3	-	1
99	<u>Grant Files - Juvenile Delinquency Program</u> - Applications, request for payment, correspondence & related documents concerning grants to communities toward the cost of Juvenile Delinquency Programs		4	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR CHILDREN, YOUTH & FAMILIES OFFICE OF PROGRAM & POLICY DEVELOPMENT		1610	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
100	<u>Administrative Correspondence Files - Office for Children &amp; Youth</u> - Including minutes of meeting, memorandums concerning policy, complement & field offices, studies and surveys with related correspondence		5	-	1
101	<u>General Correspondence - Bureau of State Operated Childrens Programs</u> - Routine correspondence and related documents concerning the operations of the Bureau of Youth Services		3	-	1
102	<u>Personnel Applicant Files - Bureau of State Operated Childrens Programs</u> - History File of person writing to Bureau concerning employment. Files may include applications and past work history		5	-	1
103	<u>Interstate Case Files on adoptions, foster, and relative care (after closing)</u> - History file on interstate adoptions and foster and relative care cases, including requests for investigative reports, interstate agreements, and related correspondence		2	3	1
104	<u>Adoption Evaluation Report Files</u> - Correspondence and related documents concerning annual evaluation of agencies concerned with adoptions		1	-	1
107	<u>General Files - Bureau of State Supervised Children Programs</u> - Statistical reports, bulletins, legislation projects, programs, budget justification, personnel data and related correspondence concerning the Bureau's Operation		5	-	1
108	<u>General Correspondence - Community Services</u> - Correspondence with national associations and counties having agencies and police units for juvenile services, including Crime Prevention Grants, Community Treatment, Law Enforcement Assistance, Youth Development Grants, Police Training and related materials		5	-	1
169	<u>History Files - Child Welfare Institutions</u> - History file for each State-owned or Supervised Training School, Forestry Camp or Youth Development Center		10	-	4
256	<u>Importation Case File</u> - Independent and Intercounty Adoptions - History file on each child placed in Penna. from other states and foreign countries. Files include certain forms and related correspondence		2	16	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR CHILDREN, YOUTH & FAMILIES OFFICE OF PROGRAM & POLICY DEVELOPMENT		1610	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
388	<u>Certificates of Adoption</u>		1	50	1
394	<u>Child Abuse Records</u> - related correspondence and material **Until child reaches his 18th birthday		**	-	3
513	<u>Child Day Care Contracts</u> - Documents pertaining to purchase of services for child day care delivery systems, correspondence, invoices and related papers *Destroy after 8 years except for contract documents required in audit exceptions and legal proceedings		3	5*	1
543	<u>Family Planning Summary Invoice, Invoice Supports, Patients Lists, Disallowance Lists</u> **Destroy after 7 years or federal audit, whichever occurs first		1	6**	3
554	<u>Administrative Files - Facility Operations</u> - Materials pertaining to facilities supervised by the Office for Children & Youth. Includes files pertaining to Facility Operation, Fiscal and Budgetary matters, Legal matters, educational programs, special incidents, and facility reports		2	5	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION BUREAU OF FACILITIES MANAGEMENT		1721	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
002	<u>Survey, reports, and technical data used as a basis for design</u> *Retain in agency as long as building/institution remain in State service		*	-	1
004	<u>Power Plant Surveys</u> - Reports of Power Plant Surveys at Institution showing consumption and efficiency of operation **Destroy if not required after 10 years		**	-	1
005	<u>Department of General Services Project at Institutions (after project completion)</u> - Correspondence, reports, surveys concerning Department of General Services projects at Institutions ***Retain in agency as long as building/institution remains in State service		***	-	1
006	<u>Contract documents (after project completion) Construction projects at Institutions</u> ****Retain as long as of value to Bureau of Facilities Management; then forward to institution		****	-	1
158	<u>Construction Drawings</u> - Blue Prints, Tracings, Plot Plans and Aerial Photographs used in connection with construction projects at Institutions * Destroy all drawings except the final drawing which is retained		*	-	1
405	<u>Correspondence</u> - Includes specialized correspondence, related data and materials, reports surveys with governmental and nongovernmental community and professional organizations relating to specific services or special fields of activity and functional responsibility		8	2	1
508	<u>DPW projects at Institutions (after project completion)</u> - Correspondence reports, surveys, concerning DPW projects at Institutions ** Retain in agency as long as building/institution remain in state service		**	-	1



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION BUREAU OF INSTITUTIONAL SERVICES		1722	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
391	<u>Welfare Safety Program</u> - correspondence and reports concerning safety matters, such as injuries, damage to property		2	-	1
501	<u>Bureau Subject Files</u> - A file on various subjects that support the bureau's function of monitoring the service areas at institutions. The subject are those that cross various institutional lines and may include such things as budget, inventory control, farm phase out, training and medical program information		5	-	1
502	<u>Institutional Files</u> - A series of several files for each DPW institution. The files are on various subjects that reflect institutional service functions such as laundry operation, land maintenance, safety/fire/security, and dietary		5	-	1
503	<u>Institutional Food Research and Services Monthly Nutrient and Inventory Reports</u> - Monthly computer generated reports that analyze the food nutrient and inventory at the hospitals operated by the Department of Public Welfare		2	-	1
577	<u>Statistical Data Report Files</u> - Includes such items as laundry reports, linen usage inventories, unusual incident reports, canteen fund balance sheets and analysis of networth, canteen fund profit and loss statements, reports of fire, and management report for employees' cafeteria		2	3	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
STATE GENERAL HOSPITALS		1723	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C.D.
			UNIT AREA	STATE RECORDS CENTER	
109	<u>Register of Births in State General Hospitals</u>		Permanent		1
120	<u>General Correspondence Files</u> - State General Hospitals - Including correspondence concerning G.S.A. construction, budget work papers, forms, statistical reports, and correspondence with State General Hospitals		2	-	1
312	<u>Laboratory Requests, Reports and Forms at State General Hospitals</u>  *Forms are prepared in varying number of copies that are filed at various locations within the State Hospital with the following Retention periods:  Patient - 4 years Emergency - 8 years Dispensary - 8 years Clinic - 8 years Medical Laboratory - 5 years Central Files/Business Office - 5 years Central Sterile and Supply - 2 years Admissions - 2 years X-Ray Department - 50 years Patient Acctg. - 7 years Patient Acctg.-Credit Div. - 50 years Surgical Dept. - 5 years X-Ray EEG or EKG - 5 years Anesthesia Department - 5 years		*	-	1
553	<u>Patient Records</u> - Add admission, medical, laboratory, progress, consultation, or other records created on a patient in a State General Hospital  **All patient records and related papers are microfilmed 4 years after the end of the calendar year in which the patient was discharged. The paper copies of Patient Records are destroyed after microfilming and the microfilms are retained permanently	X	**	-	-

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF INFORMATION SYSTEMS		1730	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
31	<u>Assistance Payments Financial Records</u> - Appropriation allocations, OA 219, Monthly Summary of Assistance Expenditures		1 mo.	6	1
345	<u>Public Assistance Disbursements</u> - Microfilm of Master History Computer Tape (Original and Working Reels)		25	-	5
350	<u>Administrative Files, including Subordinate Units</u> - Includes day to day correspondence, reports, personnel material and related documents		2	2	1
351	<u>Computer Program Documentation</u> - Including work papers from which Program was developed and/or changed. Also tabulating cards pertaining to Program. (Retain in unit area until 3 months following Program termination)		3 mo.	2	1
354	<u>Correspondence - Various Headquarters Offices</u> - Request from Various Offices for use of data processing equipment with documentation of development of programs		4	-	1
355	<u>Correspondence - County and Regional Offices</u> - Routine Correspondence with field offices		2	-	1
356	<u>Research and Development Files</u> - Catalogs, brochures, etc., on data processing equipment. *(Retain until new material is Received)		*	-	1
407	<u>Check Registers</u> - Includes regular, supplemental, direct delivery payment and non-payment lists and assistance control		1 mo.	-	1
408	<u>Treasury Bureau Investigation</u> - Requests for Investigation or Waiver of Checks, PA 207		Until Resolved	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF INFORMATION SYSTEMS		1730	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
531	<u>Computer Program and Data Tape Files</u> - Magnetic Tape files consisting of various data process program development and design and history data file Public Assistance and other Public Welfare programs		3 mos.	2	1
552	<u>Medical Assistance Services Files (Mamis) Invoice Files (microfilm)</u> - (a) Invoice Transaction Files (b) Invoice Transaction Reporting Files (c) System Master Files 1. Recipient 2. Provider		1	5	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF FISCAL MANAGEMENT		1750	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CODE
			UNIT AREA	STATE RECORDS CENTER	
1	<u>Audits Report</u> - Copies of Auditor General Audits, U.S. Department of Agriculture Audits, Regional Audits and other Departmental Audits or Reviews		2	4	1
8	<u>Operating Budgets - Institutions</u> - Copies of Budgets for Institutions, used as reference material in connection with current budget requests		2	5	1
28	<u>Accounting Ledgers</u> - Ledger for Advancement Fund, General Medical and Blind Program		6	-	1
30	<u>Federal Reporting Accounting Records</u> - Work papers and other documents used in developing request for federal reimbursement for Public Assistance expenditure. (purge BFM Reports 10 & 27 before sending to Records Center)		3	2	1
32	<u>General Correspondence</u> - Division of Accounts - Routine correspondence and related documents concerning the operations of the Division		3	-	1
45	<u>General Correspondence concerning Accounting Procedures of Office of the Blind Program</u> - Routine Correspondence and related document relative to Office for the Blind Program		4	-	1
46	<u>Office for the Blind</u> - Federal Program Correspondence, Federal Reports, and grants relative to Disability Determination and Vocational Rehabilitation Program		4	-	1
49	<u>Claim Settlement Area Offices Audits Work Papers</u> - Work Papers cash audits by Field Examiners of Claim Settlement Offices		3	-	1
50	<u>General Correspondence - Director's Office</u> - Routine correspondence and related documents concerning the operations of the Director's Office including correspondence on administrative matters, with the Department; Emergency Funds for County Offices and correspondence with other Departments and Agencies		3	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF FISCAL MANAGEMENT		1750	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
236	<u>Food Coupon Book Report, AMS 250</u> - Monthly report from bank showing issues and inventory		2	2	1
237	<u>Authorization and Receipt - Food Coupon Books, PW 516 SP</u> - Authorization to practice service carrier to release coupons to banks together with receipt of acceptance		2	2	1
320	<u>Financial Reports and Supporting Data Files</u> - Financial Statements and revenue transmittal summaries		5	-	1
328	<u>Closed Justice Case Files</u> - Delinquent account reports, memorandums and related correspondence, detailed and certified statement of Commonwealth claim for hospital care and maintenance, judgement ledgers and court orders, approved compromises and write-offs, and acknowledgements of full payments		5	-	1
338	<u>Official Receipts and Check and Cash Control Files</u> - Record of receipts, Record of receipts, payments, dates of payment and amount of payment received from clients/patients		6	-	1
340	<u>Census Cards</u> - Records of patients in State Mental Hospitals, Restoration Centers and Retardation Centers		Perm.	-	1
362	<u>90-Day Delinquent Account Forms</u> - Report of Patient Liability		1	-	1
363	<u>General Correspondence Files</u> - Letters, Memos, etc.		3	-	1
366	<u>Accounting Records - Zero Balance</u> - Account receivable ledger cards, credit reports, general ledger cards, credit information and related information on deceased and discharge patients in central file. (Retain in unit area 1 year after audit)		1	-	1
372	<u>Satisfied Refund Request</u>		5	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION OFFICE OF FISCAL MANAGEMENT		1750	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
537	<u>Internal Audit Working Papers</u> - Includes: 1. Special/Other Audit Reports 2. Correspondence pertaining to Audit Reports 3. Working Papers 4. Miscellaneous data/information/reports on Audit Activities		3	2	1
569	<u>Statistical Reporting and Supporting Documentation Files</u> - Files - Records of Institutions such as: Institutional financial records and reports and records on sources of money reported collected by institutions		5	-	1
570	<u>Official Receipts and Distribution Control Files</u> - Record of official receipts issued by headquarters office and to whom		5	-	1
571	<u>Provider Benefits Information Files</u> - Includes Blue Cross, Blue Shield, Medical Assistance, Medicare Information and related forms		7	-	1
572	<u>Refund Overpayment Files</u> - Records pertaining to refunds to patients/clients due to overpayments		5	-	1
606	<u>Official Receipt and Check Control Files</u> - Record of receipts, payments, dates of payment, amount of payment received and from whom payment was received		3	0	1
607	<u>General Correspondence Files</u> - Includes routine correspondence, letters, memorandums, reports, and related materials concerning the operations of the division.		3	0	1
676	<u>Institutional Liability Abatement Review Files</u> - Individual case files of patients in Institutional programs who have requested a review of their liability for possible abatement or modification. Includes correspondence and other related materials.		3	2	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION DIVISION OF MANAGEMENT CONSULTING SERVICES		1741	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
007	<u>DPW Bulletin History Files</u> - Background data and record of staff coordinator on all DPW Bulletins published. Kept in active file as long as Bulletin is active. When Bulletin is obsoleted, the file is retained in an Agency inactive file for one year, then transferred to Records Center		1	4	1
373	<u>DPW Manual History Files</u> - Back-up data and record of staff coordination on all manual sections published and revisions thereto		5	5	1
426	<u>Forms Printing Requests - PW 304</u>		3	-	1
432	<u>Signature Authorization Card (OA 275)</u> - Copy of Authorization of Signature to sign certain documents as required *Retain as long as person is authorized		*		1
497	<u>Departmental Forms Files</u> - Correspondence and other back-up materials which reflect the history of each form; mechanical master on latest version printed; control logs and index **File retained as long as form is active. Work orders and non-essential back-up materials over two years old may be destroyed. File is destroyed when form becomes obsolete, except that one copy of last version is retained permanently		**		1
498	<u>Division Subject Files</u> - Supporting Data files, by subject, which includes correspondence, work papers, plans, studies, reference materials and reports on such things as: filing equipment; copy equipment; general office furniture and equipment; document security; printing and reproduction orders; cost reduction; office operations; OA directives; space reviews; office layouts; space allocations		3	2	1
499	<u>Departmental Mailing and Distribution Lists</u> - Magnetic tapes and hard copy lists of names and addresses of individuals and offices that receive distribution of Departmental materials ***Only tapes and lists of most current information is retained. Old lists and tapes may be destroyed as they become obsolete or are replaced		***		1
504	<u>DPW MANUAL</u> - Complete copy of current sections ****Only current material is retained. Obsolete or replaced sections are destroyed as identified		****		1



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION DIVISION OF MANAGEMENT CONSULTING SERVICES		1741	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
512	<u>DPW Bulletins</u> - Complete set of all Bulletins published * Maintained in two sets, one for active and one for inactive. When Bulletins become obsolete, active sets are purged and copies destroyed except for one copy which is placed in the inactive file and retained permanently		*		1
608	<u>Controlled Document Records</u> - Monthly usage reports, Notice of Shipment and Receipt of Controlled Documents, Non-Receipt of Controlled Documents, and all other supporting documentation concerning the Department's controlled documents system		1	3	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION DIVISION OF OFFICE SERVICES		1742	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
51	<u>Leases, Contract Files (after expiration)</u> - Copies of contracts with related correspondence for properties used by the Department		3	-	1
52	<u>Internal Stores Requisitions PW 12</u> - Internal Stores Requisition also PW 300-R Requests from institutions and offices requesting supplies		1 mo.	2	1
53	<u>Inventory Files</u> - Inventory Records with related correspondence concerning equipment in County Assistance Office and State Headquarters		2	-	1
54	<u>Inventory Control Cards</u> - Equipment and Furniture- Card for each item of equipment and furniture *Cards destroyed after item becomes obsolete or is replaced				1
55	<u>Inventory Control</u> - Computer printout for DPW Offices and Agencies		1	1	1
56	<u>Automotive Reports</u> - Includes accident reports and GSVM 5, Monthly Report of Daily Maintenance Activity of Automotive Equipment		2	2	1
57	<u>General Correspondence</u> - Includes correspondence on moving expenses, work orders, personnel files, time sheets, overtime reports, travel expense vouchers; routine correspondence and documents concerning day-to-day operations of the Division of Office Services including inquiries and replies regarding H&W Building, the Department Warehouse, the County Offices and Institutions and automotive equipment used by the Department		1	1	1
164	<u>Telephone Communications File</u> - (After completion of work) Work orders correspondence and telephone requisitions OA 522		1	-	1
248	<u>Report of Charges</u> - Breakdown of Administrative's Charges Breakdown of Administrative Cost such as travel, postage, etc. to each program office		1	4	1
404	<u>Receipted Copies of Purchase Documents</u>		5	-	1
674	<u>Personal Care Boarding Homes Records</u> - Correspondence, licensing applications, back-up materials, and allied papers related to boarding home licensure		2	0	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION DIVISION OF PROCUREMENT		1743	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	M C R O N I M	RETENTION PERIOD (YEARS)		D I S P.  C D
			UNIT AREA	STATE RECORDS CENTER	
59	<u>Vendor Contract File</u> - List of Contracts by Vendors for current and previous fiscal year. These contracts are for equipment, maintenance and repair and are provided by the Vendor		2	2	1
60	<u>Correspondence File</u> - Contracts Correspondence on Contracts for State Headquarters, General Hospitals & Mental Hospitals		2	2	1
61	<u>Transactions File</u> - Correspondence with Vendors, State headquarters, Institutions, other State Agencies, Institutional Surveys Bid Openings, allotments, time sheets, Group Purchases		2	-	1
62	<u>Bond File</u> - Correspondence with Vendor's concerning Bonds and Invoices		2	-	1
232	<u>Local Purchase Proposal, PW 516</u> - Includes bid tabulations and supporting documents and correspondence		1	4	1
380	<u>Blue Back, Legal Contracts</u> - Copies of contracts for purchase of services together with any supporting documents including RFP (Request for Proposal) where applicable. The contracts are for such things as purchase of social services and construction and maintenance projects		2	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
STATE MENTAL HEALTH HOSPITALS, MENTAL RETARDATION CENTERS & RESTORATION CENTERS		9130	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROL-1-M	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
231	<u>OA 520 - Institutional Laundry Reports</u> - Monthly Report of laundry and laundry supplies used at each Institution		1	-	1
284	<u>Patient Canteen Coupons</u> - Coupons used in place of cash at canteens (Destroy after end of fiscal period or after completion of Auditor General audit, whichever occurs first)		1	-	1
381	<u>Canteen Operational Records</u> - Accounts Payable Statements, Trial Balance Statements, Quarterly Statements of Profit and Loss and Balance Sheets, yearly Canteen Financial Statements, Canteen Physical Inventory, Canteen Sales Reports, Canteen Salaries Reimbursement, Quarterly Report, Canteen Sales Report, Journal, Ledgers, etc., check stubs, and related documents pertaining to canteen operations (Destroy one year after Auditor General audit) ←		1	-	1
470	<u>Periodic Program Development Files</u> - Includes records on each individual resident's progress in accordance with a team concept of programming individual residents and reports and other materials related thereto *Retain as long as the patient is in the institution		*	-	3
471	<u>General Correspondence</u> - Includes routine correspondence such as staff reports and memoranda, directories, information on Community Mental Health Centers, Base Service Units, County Unit Offices and training materials		5	-	1
472	<u>Clearinghouse materials</u> - related to organizations with which the clearinghouse is coordinating efforts, articles written for newsletters describing the clearinghouse, reports, letters, and surveys dealing with the gathering of information		20	-	1
473	<u>Storage of Clearinghouse Information</u> - Includes completed surveys which are returned to clearinghouse, addendum materials attached to surveys, listings of research projects, reports from agencies who have gathered research information, resource materials used in answering specialized requests, reprints of articles used in developing the clearinghouse		20	-	1
474	<u>Retrieval of Clearinghouse Information</u> - Includes forms and related materials used in answering requests, forms used to handle requests, answers to requests, reference material used in developing a retrieval system, and lists of information on other clearinghouses		20	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
STATE MENTAL HEALTH HOSPITALS, MENTAL RETARDATION CENTERS & RESTORATION CENTERS		9130	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
475	<u>Training Programs</u> - Includes correspondence from the Regions and other departments, monthly reports, staff reports and memoranda correspondence coordinating all Regional training programs and community programs, institutional training programs and all mental health related college programs		20	-	1
477	<u>Visible Pocket Card Books</u> - Basic information for special diets, allergies, nutritional status, chewing ability, etc. *Ten years after death in Institution or twenty years after removal as part of patient chart		*	-	3
486	<u>Medication Cards - Controlled Substances</u>		2	-	3
487	<u>Medication Cards - Uncontrolled Substances</u>		1	-	3
525	<u>Patient/Resident records, facilities for the mentally disabled and restoration centers (active)</u> - Contains all records, notes, reports, and evaluations on admission and treatment * Retained as long as individual remains at the facility		*	-	3
526	<u>Patient/resident records, facilities for mentally disabled and restoration centers (inactive)</u> - Records become inactive upon death or discharge of individual **If patient is a minor, retain 3 years after reaching majority under state law or 5 years after death or discharge, whichever is longer		5**	-	3
NOTE: Prior to destruction, personal data sheets or their equivalent and discharge summaries are pulled and placed in the patient/resident history file.  Complete files on five percent random sample plus those on individuals with unusual physical or mental disabilities are pulled and placed in statistical and research file					

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
STATE MENTAL HEALTH HOSPITALS, MENTAL RETARDATION CENTERS & RESTORATION CENTERS		9130	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
527	<u>Patient/resident statistical and research file</u> - Contains five percent sampling of patient/resident records which become eligible for destruction each year plus those on individuals who had unusual physical or mental disabilities (Prior to actual destruction, written approval must be obtained from the appropriate Deputy Secretary)		25	-	3
538	<u>Patient/resident record history file</u> - Contains personal data sheets or equivalent and discharge summaries extracted from records prior to destruction		10	-	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES			
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY			
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP.	
			UNIT AREA	STATE RECORDS CENTER	C	D
625	FILE NAME: MARS Reports FILE ID: MR3000R02 APPLICATION: A16  This file contains all of the MARS output reports except EOB and cost settlement listings.	X	2	3	3	
626	FILE NAME: Provider Exception Profiles FILE ID: MS7260R001P APPLICATION: A17  This file contains exception profiles on provider utilization.	X	2	5	3	
627	FILE NAME: Provider Summary Profiles FILE ID: MS7260R002P APPLICATION: A18  This file contains summary profiles on provider service utilization.	X	2	5	3	
628	FILE NAME: Sorted Invoices FILE ID: S1210MP00 APPLICATION: A19  This file contains sorted Medicaid invoice records to be processed by the daily cycle.	X	2	0	3	
629	FILE NAME: Pend Corrections FILE ID: S004ENCD APPLICATION: A20  This file contains a record for each pending claim correction entered into the system.	X	2	0	3	
630	FILE NAME: Treasury Tape FILE ID: Unlabeled APPLICATION: A21  This file contains a record for each check, appropriation, and voucher transmittal created by the system.	X	2	3	3	

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
631	FILE NAME: Sorted Edited Invoices FILE ID: S1211MP52 APPLICATION: A22  This file contains sorted edited Medicaid invoice records to be processed by the weekly cycle	X	2	0	3
632	FILE NAME: Claim Detailed Report FILE ID: MS7320R001 APPLICATION: A23  This file contains a detailed listing of claim information for provider and recipients who are outside SUR's exception limits.	X	2	5	3
633	FILE NAME: EOB Report File FILE ID: MR3800R01 APPLICATION: A24  This file contains information on each recipient explanation of benefits produced by the system.	X	2	5	3
634	FILE NAME: TIP Log FILE ID: APPLICATION: A25  This file contains an audit trail of all change transaction applied to the provider and reference files.	X	2	3	3
635	FILE NAME: Gross Adjustments FILE ID: PVR32001,02 APPLICATION: A26  This file contains payment adjustment submitted to the Claims Processing and MARS Subsystem for further processing.	X	2	3	3
636	FILE NAME: Pended Claim Listing FILE ID: Source Document Filming APPLICATION: A27  This file contains the microfilm images of the pended claims listings after the claim has been adjudicated.	X	2	3	3



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
637	FILE NAME: Recipient Exception Profiles FILE ID: MS7260R001R APPLICATION: A28  This file contains exception profiles on recipient utilization.	X	2	5	3
638	FILE NAME: Treatment and Analysis Exception Profiles FILE ID: MS7260R001TA APPLICATION: A29  This file contains exception on treatment and analysis profiles processed.	X	2	5	3
639	FILE NAME: Provider Summary Profiles FILE ID: MS7260R002R APPLICATION: A30  This file contains summary profiles on recipient service utilization.	X	2	5	3
640	FILE NAME: Treatment and Analysis Summary Profiles FILE ID: MS7260R002TA APPLICATION: A31  This file contains summary profiles on treatment and analysis utilization.	X	2	5	3
641	FILE NAME: Nursing Home Audit File FILE ID: Source Document Filming APPLICATION: A32  This file contains the microfilm images of each nursing home's audit file which contains work papers, source documents, explanations, analyses, and cost and audit reports; and, audit practices and procedures necessary to support long term cost reimbursement findings and conclusions for each facility.	X	2	5	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
642	FILE NAME: Inspection of Care File FILE ID: Source Document Filming APPLICATION: A33  This file contains the microfilm images of each facility's annual review summary report, presurvey form, individual patient's review forms, copy of provider agreement, and facility correspondence and responses to summaries from the facility.	X	2	5	3
643	FILE NAME: Medicaid Invoices FILE ID: Source Document Filming APPLICATION:  This file contains the microfilm images of all original invoices used to bill the department by the providers.	X	2	3	3
644	FILE NAME: Unformatted rejects FILE ID: Source Document Filming APPLICATION:  This file contains the microfilm images of a computer printout of the claims which cannot be further processed by the system.	X	2	3	3
645	FILE NAME: MAMIS Invoice Cross-Reference FILE ID: CLM300  Reference for CRN assignment for tape-to-tape billers.		1 mo.	0	3
646	FILE NAME: Balance Control Report FILE ID: CLM100  Balancing tape-to-tape input. Used to check record totals.		1 mo.	0	3
647	FILE NAME: Claim Control Report FILE ID: MP501  This report provides a summary of the day's input, listing both individual batch information, as well as combined batch totals.	X	2	0	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF CLAIM SETTLEMENT		1150	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
376	<u>Financial Documents -</u> PA 179-K Group Sheet PW 180 List of Estates Advertised PA 214 Monthly Report of Advancements, Expenditures and Balances-Emergency Fund PA 310-P Request and Receipt for Payment of Costs (Retain one full calendar year plus the current calendar year)		1	-	1
377	<u>Claim Settlement Forms -</u> PA 172-P Register of Pending Claims PA 172-V Advancement Fund List PW 335 Inventory of Furniture and Equipment PW 361 & Standard Transmittal 361S (On PA 172-P retain pages with no open items two full calendar years plus the current calendar year. All others retain two full calendar years plus the current calendar year.)		2	-	1
378	<u>Advancement Fund Cash Book and Check Book Cashiers Receipt Issue Ledger Memorandum -</u> (Retain five full calendar years plus the current calendar year)		5	-	1
479	<u>Supplemental Security Income Reimbursement Authorization (After Closing)</u>		1	2	1
485	<u>Child Support Documents -</u> Includes correspondence, reports, and related material. (Retain in Operating Area for 2 years after closing of case, then forward to Records Center. Records Center to retain 1 year for a total of 3 years retention after closing of case)		2	1	1
529	<u>Central Registry Card File - Absent parents, PA 362 (Active)</u> *Retained in agency while case is active		*		
530	<u>Central Registry Card File - Absent parents, PA 362 (Inactive)</u> (Retain 3 years after case is closed)		3	-	1
675	<u>BCS035 Report - Accounts Receivable System</u> Record of individual payments received on a claim		3 mos.	0	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR INCOME MAINTENANCE BUREAU OF POLICY		1171	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
25	<u>Authorization - Food Stamp Plan</u> - PA 122-SP, Certification Notice authorizing an applicant to participate in Food Stamp Plan or discontinuing eligibility of a recipient		3 mos.	3 yrs. 9 mos.	3
202	<u>Public Assistance Manual File</u> - Historical file concerning the development of the Manual		*	-	1
203	<u>Public Assistance/Memorandums and Special Releases</u> - Supplement records on Manual revisions and changes in policy		*	-	1
205	<u>Public Assistance Manual</u> - Complete Manual, containing current material, record of revisions and obsolete material *Retain in operating area as long as required		*	-	1
205A	<u>Public Assistance Manual Discontinued Programs and Obsolete Material</u>		-	5	1
238	<u>Food Coupon Authorization PA 3SP</u> - PA 3E-SP Authorization to recipient to purchase food coupons. IBM card also, used for machine accounting		1 mo.	3 yrs. 11 mos.	1
297	<u>Social Security Buy-in Reports and Records</u> - Documentation such as form PA-122-SS with supporting records concerning partial payment of Medicare cost by Department		1 mo.	3	1
382	<u>Ledgers of County Applications for Public Assistance</u> - Breakdown of Medical Assistance Expenditures, and breakdown of Expenditures for Recipients of Cash Grants including average number of cases monthly		**		
383	<u>Data Processing Cards for USHEW Census of ADC and CU School Children by County</u> **Retain in operating area 3 months, then send to Department of Public Education		**		
409	<u>County Disbursement</u> - Notice of Credit, PA 123E; CBA Emergency Disbursement Authorization, PA 122E		1	1	3
495	<u>Institutional Care Authorization, PA 122M</u>		1 mo.	2 yrs. 11 mos.	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
YOUTH DEVELOPMENT CENTERS		1650	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
263	<u>Log Books</u> - Consist of Intake Ledgers and Release ledgers which contain student information such as Date Admission, Name, Institution Number, County of Residence, Committing Judge, Date of Birth, Address, Date of Release		Perm.	-	1
264	<u>RIC 555 Receipts</u> - Revenue from Counties for Maintenance of Inmates		7	-	1
265	<u>CY 55 Summary of Maintenance Changes</u>		7	-	1
266	<u>Inmate Cash Fund Ledger Cards</u> - Internal system for accounting for inmates personal funds and disbursements, also includes cancelled checks and account ledger		7	-	1
267	<u>Y.D.C. County Billing Form</u> - Old form devised for use by Y.D.C. prior to use of CY 55		7	-	1
268	<u>Commissary Records</u> - Internal system for accounting for operation of Commissary, includes bank statements, cancelled checks, Student Aide Fund, and miscellaneous receipts from Vendors		7	-	1
269	<u>WSI-5 Order on Patients for Inmates Fund-Record of disbursements of funds</u>		7	-	1
270	<u>RIC 19PC Financial Report of</u>		7	-	1
271	<u>RIMF 2G Accounts Receivable</u> - Counties and Poor Districts		4	-	1
272	<u>YDC (Red) Stock Ledger Card</u> - Record of stock on hand and inventory. Shows quantities and values		4	-	1
273	<u>YDC (Yellow) Stock Issue Record</u> - Shows quantity of stock issued only		4	-	1
274	<u>DPW 10 Inventory Control Card</u> - Shows quantities of stock. Serves basically the same purpose as YDC Stock Issue Record		4	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
YOUTH DEVELOPMENT CENTERS		1650	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
275	<u>PW 2A Monthly Plant and Building Expense</u>		4	-	1
276	<u>PW 353 Transfer of Surplus Stores or Equipment</u>		4	-	1
277	<u>PW 472 Semi-annual Report, Maintenance Charges for Superintendents</u>		4	-	1
278	<u>PW 527 Annual Stores Inventory</u>		4	-	1
279	<u>OA 274-D Stores Requisition</u>		4	-	1
280	<u>SI-670 Monthly Report of Stores</u>		4	-	1
281	<u>Institutional Supplies Requisition</u>		1	-	1
303	<u>Student Case Files of Trainees</u> - Copies of all correspondence, records or reports pertaining to each trainee		20	-	1
304	<u>Enrollment Cards, Student</u> - Records for present and discharged students giving essential information		20	-	1
305	<u>Court Commitment Records</u>		20	-	1
306	<u>Institutional Executive Board Minutes and Resolutions</u>		Perm.	-	-

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
COUNTY ASSISTANCE OFFICE		1190	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
243	<u>Public Assistance Case Records (after closing)</u> - Includes all application and other forms and correspondence relating to the eligibility of clients for cash assistance, and food stamp programs  * Remove forms PA 740 and PA 21-P if part of case record, and retain them an additional year, for a total of 5 years. Remainder of case record may be destroyed after 4 years unless the case is involved in an unresolved audit or litigation in which situation it is retained until audit or litigation is resolved.		4*	0	3
357	<u>Emergency Fund Cash &amp; Pass Book</u> - *Retain Current Cash & Pass Book, plus the last completed book. Destroy all others		*	-	1
478	<u>Social Service Case Records</u> - Maintained for either families or individuals. Includes: 1. Request for service forms, intake documents and/or approved application forms for Title XX services 2. Notification Forms (PA 162 series forms or the equivalent) 3. Work Incentive Program (Win) Records 4. Mandated Social Services reporting forms (PW 674B or equivalents) 5. Early periodic screening diagnostic treatment program records 6. Correspondence pertaining to case records * Files retained as active during period in which services are rendered to clients. Transferred to inactive file at end of fiscal year in which last services were rendered  Inactive files are destroyed five years after end of fiscal year in which record becomes inactive		5*	-	3
483	<u>Bank Statements for Emergency Fund Accounts</u> - and all other Special Account and related reports and documents (Retain in unit 3 years or until audit, whichever occurs first)		3	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
COUNTY ASSISTANCE OFFICE		1190	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
496	<u>Blue Cross Listing of PA Recipients</u> - Listing identifies PA Recipients who receive medical treatment for injuries. The cases identified are those against which the Department has claims for Medical Assistance as well as personal damage claims liable for reimbursement ** Destroy immediately after checking and completion of appropriate reimbursement action		**	-	1
500	<u>Food Coupon Authorization Log - Form PA 3E-SP</u> - A listing, by serial number of all the Food Coupon Authorizations issued at the county office level. The listing, in addition to the serial number of the document, include the case number, name of client, and date issued		3	-	1



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION		1700	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
425	<u>General Correspondence</u> - Includes correspondence, reports, surveys, studies, and related materials concerning the operations of the office of Deputy Secretary for Management		1	2	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
23	<u>Doctors and Pharmacists - Medical Payment File</u> - Tab card for each Doctor or Pharmacist receiving payment for medical services to Public Assistance recipients, show amount of payment to date		1	-	1
24	<u>Medical Invoice Tabulation</u> - Tab card for each Medical Invoice received, processed and statistical data reported. *Destroy After Processing		*		
35	<u>Medical and Pharmaceutical Analysis</u> - Study of invoices from Counties concerning pharmaceutical and medical costs in connection with Public Assistance Program		3	3	1
253	<u>Statistical Studies</u> - On Medical Care by type of service for a given period of time		1	2	1
313	<u>Hospital Correspondence (After closing or discontinued Med. Assist. Approval)</u> contains letters of Approval, Agreement, Utilization Review Plan and General Correspondence (Would have annual purge while active also)		1	2	1
314	<u>Hospital Approved-Disapproved Cases File</u> - Copy of letters sent to Hospitals or Physicians identifying cases and summary information. Used for reference and annual Statistical Summary reports concerning Utilization review		1	2	1
315	<u>Hospital Files (inactive)</u> - Complete documentation of patients' hospitalization with Bureau correspondence and decision by Utilization Review Committee		3	2	1
316	<u>Hospital Semi-Monthly Payment Listing</u> - TAB Listing showing individual payments to hospital by patient name		1 mo.	4 yrs. 11 mos.	1
317	<u>Med. Assist. Vendor Semi-Annual Payment Listing</u> - TAB Listing of payments made to physicians, pharmacies and dentists by patient name within county		6 mos.	2 yrs. 6 mos.	1
318	<u>Utilization Review Committee Minutes</u> - Minutes recording actions of Committee from which decisions concerning hospital cases are made and appropriate action taken		2	2	1

## RECORDS AND FORMS MANAGEMENT

7042 APPENDIX XVI

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
347	<u>Hospital Invoices-Medical Assistance Payment</u> - Hospital invoice together with documentation supporting request for payment		1 mo.	4 yrs. 11 mos.	1
390	<u>U.S. Information Returns, Form 1099</u>		1 mo.	6 yrs. 11 mos.	1
406	<u>General Correspondence Files</u> - Includes all correspondence concerning licensing of facilities		2	-	1
413	<u>Early Periodic Screening, Diagnosis, and Treatment</u> - Includes Management Reports, Statistical Reports, Budget Reports, and related documents, material and correspondence		2	5	1
414	<u>General Correspondence</u> - Includes administrative correspondence, reports, and related materials pertaining to the operation of Medical Assistance Programs		3	4	1
415	<u>Pharmaceutical Program - Payment System Records</u> - Records, correspondence and other documentation concerning the evaluation and monitoring of the services provided by the Pharmaceutical Payment Intermediary		2	5	1
416	<u>Actual Statistical Reports</u> - Includes computer printouts on Federal 2082		1	2	1
417	<u>Medical Assistance Program Files</u> - Includes Surveys, Studies, Research, HEW Surveys, Screening Files, HIB, Predetermined Utilization Review (PDUR), Nursing Home Programs, and Management Information		3	4	4
418	<u>Federal Registers on Drug Programs</u> **Until superseded by subsequent instructions from the Federal Government		**	-	1
419	<u>Individual Provider Card Files</u> - Includes information on each participating physician, chiropractor, etc. ***Destroy old card when new information received		***	-	1
420	<u>Professional medical reviews for intermediate care and skilled nursing care</u>		2	5	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
421	<u>Utilization Review Plans on Hospitals and Mental Hospital Certification Files which include Utilization Review Plans</u> ****Destroy when superseded by new plan		****	-	1
422	<u>Miscellaneous Provider Plans</u> - Includes psychological, dental, etc., both interstate and intrastate *Destroy when superseded by new plan		*	-	1
423	<u>Intermediate Facilities Certifications and Skilled Facilities Certifications</u>		3	4	1
424	<u>Medical Reviews</u> Public Skilled Facilities Private Skilled Facilities State Hospitals		1	2	1
481	<u>Standard Medical Invoices, PA 259 for Court Cases only and all materials and documents related thereto</u> ***Retain in operating area until case has been adjudicated		***	-	1
482	<u>Individual Provider Utilization Reviews, Forms PW 522</u>		1	2	1
489	<u>Medical Assistance Drug Client Case Records</u> (Retain in Operating Area 3 years after closing, then destroy)		3	-	1
490	<u>Medical Assistance Drug Client Records</u> - Microfiche 4 x 6 negatives		5	-	1
491	<u>Drug Usage and Management/Fiscal Reports</u> (Retain 4 years or until audited, whichever occurs first)		1	4	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
540	<u>Claim Invoices</u> - Claim invoices submitted by Medical Assistance providers on behalf of eligible Public Assistance recipients *Original records destroyed after microfilming		1*	4	3
544	<u>Medical Assistance Provider Enrollment Forms and Agreement Forms File</u> - Includes the enrollment and agreement forms for individual providers and group providers enrolled and participating in the Medical Assistance Program. Also included is correspondence pertaining to these files Active Providers Inactive Providers		Perm 3	- 4	- 1
565	<u>Medical Assistance Payment History Files</u> - Magnetic Tape Files consisting of pharmacy claims processed in the WMA system; eligible medicaid cases for PAID; and pharmaceutical claims processed by PAID		-	10	5
610	FILE NAME: Medicare Invoices FILE ID: Medicare-Inv. APPLICATION: A1  This file contains Medicare invoices received from Blue Shield for entry into the tape-to-tape system.	X	2	3	3
611	FILE NAME: Medicaid Invoices FILE ID: MA-Inv. APPLICATION: A2  This file contains Medicaid invoices received from service bureaus for entry into the tape-to-tape system.	X	2	3	3
612	FILE NAME: Medicaid Invoices FILE ID: CLM 30001 APPLICATION: A3  This file contains the Medicaid invoices reformatted by the tape-to-tape system. These invoices are input to MAMIS for normal processing.	X	2	3	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
613	FILE NAME: Invoice Tracking File FILE ID: S8801CC01 APPLICATION: A4  This file contains a processing location audit trail for each transaction processed by the system.	X	2	3	3
614	FILE NAME: Recipient Claim History FILE ID: S1212MQ55 APPLICATION: A5  This file contains key information for each claim and adjustment process. This file is used by Claims Processing for history editing.	X	2	3	3
615	FILE NAME: PA Master File FILE ID: S1213PA70 APPLICATION: A6  This file contains prior authorization request records for each adjudicated PA request.	X	2	3	3
616	FILE NAME: PA Activity Advice FILE ID: S1213PA70 APPLICATION: A7  This file contains a Remittance Advice report for each adjudicated prior authorization request.	X	2	3	3
617	FILE NAME: Remittance Advice FILE ID: S1231MQ77 APPLICATION: A8  This print tape contains an image of each Remittance Advice produced by the Claims Processing System.	X	2	3	3
618	FILE NAME: MARS Input File FILE ID: S1333MQ77 APPLICATION: A9  This file contains the adjudicated claim records processed by the Claims Processing System.	X	2	3	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
619	FILE NAME: Provider Reports FILE ID: PVR47510 APPLICATION: A10  This file contains various provider reports, reports No. 6, 11, and 13, are various cross-reference listings of provider names/numbers, and group name/number information.	X	2	3	3
620	FILE NAME: Provider Reports FILE ID: PVR47510 APPLICATION: All  This file contains various provider reports, report No. 13 is a provider select which prints the total content of the file.	X	2	3	3
621	FILE NAME: Procedure File FILE ID: RF0800 APPLICATION: A12  This file contains information on each valid procedure code which can be billed by a provider	X	2	3	3
622	FILE NAME: Drug File FILE ID: RF0810 APPLICATION: A13  This file contains information on each valid drug code which can be billed via provider.	X	2	3	3
623	FILE NAME: Diagnosis File FILE ID: RF0820 APPLICATION: A14  This file contains information on each file diagnosis code which can be used via provider.	X	2	3	3
624	FILE NAME: Edit Air File FILE ID: RF0830 APPLICATION: A15  This file contains a list of all the edits performed by the Claims Processing System.	X	2	3	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
648	FILE NAME: Management Control Report FILE ID: MP502  This six part report provides statistical details for each daily cycle.		2 mos.	0	3
649	FILE NAME: Edit Error Report FILE ID: MP503  This report indicates the number of times an error code was set by each provider grouping. The total number of times each error sets and the total of all error codes set. This report contains daily cycle error codes only.	X	2	0	3
650	FILE NAME: Oldest Pended Invoices FILE ID: MQ221  This report lists the oldest pended claims in the system. Any number of claims may be requested to be printed. The report prints the oldest CRN first, the next oldest, etc., through the number requested.		1 mo.	0	3
651	FILE NAME: Pended Invoice Statistics FILE ID: MQ222  This report lists the number of pended invoices and adjustments in various "aged" categories. The categories range from 0 to 15 days to 150 days and older. The report also provides the total amount billed on all invoices in each category. However, no dollar amount is given for adjustments. Following the last provider grouping is the total number of pends in each category and the percentage of documents in each range.		1 mo.	0	3
652	FILE NAME: Summary of Selected Pends FILE ID: MQ223  This report summarizes the number of claims requested and printed to the I.P. aging report (MP604). The report lists by provider type the number of invoices, adjustments and claim lines included on the MP604 report. Provider group totals as well as combined group totals for each category are also represented.		1 mo.	0	3



OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. CD
			UNIT AREA	STATE RECORDS CENTER	
653	FILE NAME: Invoice Processing Logic Control Report FILE ID: MQ662  This report provides weekly statistics relative to the entire payroll process.		2 mos.	0	3
654	FILE NAME: Invoice Processing Logic Control Report FILE ID: MQ663  This report indicates the number of times a history error code was set by each provider group, the total number of times each error code sets, and the total of all error codes set. This report contains history error codes only.				
655	FILE NAME: Invoice Processing YTD Payment Summary FILE ID: MQ776  This report is generated after each weekly cycle and provides a year to date payment summary for each provider included on the provider master file.		2½	0	3
656	FILE NAME: Weekly Invoice Input Control FILE ID: MQ430001  This report provides a summary total of all duplicate CRN's that are dropped from the pend master file.		2 mos.	0	3
657	FILE NAME: VT Detail Report FILE ID: MQ770002  This report provides supporting detail to the weekly VT by provider type.		2 mos.	0	3
658	FILE NAME: Invoice Processing Operator Error Listing FILE ID: MR101  This report consists of two parts, Part One lists the CRN's that were not accepted when corrections were key encoded. The reasons for unacceptance are also indicated. Part Two is a summary of all activities or changes to the pend file and is referred to as the summary statistic sheet.	X	2	0	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
659	FILE NAME: Pend Master Statistics FILE ID: MR1101  Report produced each cycle listing total number of each edit on current pend master file.		2 mos.	0	3
660	FILE NAME: Station Efficiency Report FILE ID: CC102  This report breaks down the processing volumes for all stations within the system into period of time required to process an invoice through the station. Station counts are broken down by completely process counts and incomplete or open accounts. These counts are further broken down by invoice type.		2 mos.	0	3
661	FILE NAME: Pended Claim Resolution Efficiency Report FILE ID: CC103  This report breaks down processing volumes for the Pended Claims Resolution Stations into lengths of time required by a clerk within an area to process a batch of invoices. Each clerk's totals are further broken down by final action taken by the clerk: approved (including corrected and submitted for re-edit), rejected and transferred to another clerk. Batches that are still open at the time of the report are accumulated under 'IN-PROCESS' counts.		2 mos.	0	3
662	FILE NAME: Open Invoice Exception Report FILE ID: CC104  This program generates a report identifying invoices or batches that have not completed processing through a station area within a specific number of days.		2 mos.	0	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	M I C R O F I L M	RETENTION PERIOD (YEARS)		D I S P.  C D
			UNIT AREA	STATE RECORDS CENTER	
663	FILE NAME: Invalid Destination Report FILE ID: CC105  This report depicts instances of ambiguity in the scheduling of invoices through the various tracking stations of the invoice processing system. Any invoice that was scheduled to a particular destination but was reported (logged) at another is flagged as having arrived in at an invalid destination. All such occurrences are reported only once on this report, which is intended to uncover processing problems within the system for subsequent corrective actions if required.		2 mos.	0	3
664	FILE NAME: Station Balance Report FILE ID: CC106  This report depicts the processing flow within each station of the invoice processing system as defined for the purposes of claim control. The time frame covered in each report is from the time of the last report to the latest logged entry at the time the report is generated.		2 mos.	0	3
665	FILE NAME: Work Days In Station/Area When Processed FILE ID: CC107  This report indicates the working days an invoice had remained in a given station/area when it was processed out of the station/area. Statistics are compiled weekly for recycling during the week. If more than five cycles are run in a given week, an additional page for each station/area is used.		2 mos.	0	3
666	FILE NAME: Gross/Claim Adjustment Transaction FILE ID: PVR32010  This report is generated weekly, and is a listing of gross adjustments sequenced by provider type, individual provider and claim reference number. This file contains a listing of all gross adjustments and claim adjustments existing on the credit hold file.		1	0	3
667	FILE NAME: Gross/Claim Adjustment Transaction FILE ID: PVR32011  This report is generated weekly and is the listing of all gross adjustments in claim reference number sequence for each input unit. Shows only those transactions received during the past week.				

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
668	FILE NAME: Adjustment Collections and Hold File Summary FILE ID: PVR32012  This file is generated weekly and is the summary of all transactions recorded on reports PVR32010 and 32011.		1	0	3
669	FILE NAME: Prepayment Adjustment Listing FILE ID: PVR32013  This file is generated weekly and lists all providers authorized for anticipation payments, whether they are receiving anticipated payment this cycle or not. The amount received by each provider will be listed with a total amount for providers at the end of the report.		1	0	3
670	FILE NAME: Provider Correspondence FILE ID: Source Document Filming  This file contains correspondence with the providers dealing with cost reimbursement, provider inquiries, and departmental responses to provider inquiries, specific directions for actions needed by providers, provider enrollment records, and provider agreements, and other routine correspondence involving the department with the provider community.	X	2	3	3
671	FILE NAME: Selected Drug Information by Drug Code FILE ID: RF0815-01 APPLICATION: A-34  This file contains selected information on each valid drug code which can be billed by a provider.	X	2	3	3
672	FILE NAME: Selected Drug Information by Drug Name FILE ID: RF0815-02 APPLICATION: A-35  This file contains selected information on each valid drug code which can be billed by a provider	X	2	3	3

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR MEDICAL ASSISTANCE		1200	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
673	FILE NAME: Transaction Log-Summary of TIP Log FILE ID: TCS-61011 APPLICATION: A-36  This file contains an audit trail of all change transactions applied to the provider and reference files.	X	2	3	3
677	<b>BOARDING HOME PROGRAM FILES - Includes:</b> <ol style="list-style-type: none"> <li>1. Applications for Boarding Home Status</li> <li>2. Reports of Boarding Home Inspections</li> <li>3. Reports of Boarding Home complaints and complaint follow-ups.</li> <li>4. Correspondence related to applications, inspections and complaints.</li> </ol> <p>*Files retained five years after closure or discontinuance. Active files to be purged annually to remove outdated materials.</p>		5*	0	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION CHAPLAIN'S OFFICE		1700	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
505	<u>General Files</u> - Program files of DPW and Justice; Individual personnel files for contact personnel for the Chaplain's office; files on churches/church groups/church organizations; job application files; chaplain's lists, newspaper clippings of current interest; chaplain's newspaper files *Destroy when outdated, expired, rescinded, or superceded		*	-	1
506	<u>Correspondence File</u> - General Correspondence files; minutes/notes of conferences/meetings with back-up materials; reference and back-up files		2	5	1
507	<u>Personnel Action Files</u> - Work papers, back-up materials, draft job descriptions for chaplains in State service **Destroy when new job descriptions are written or when materials are obsolete		**	-	1
509	<u>Inmate/Patient/Resident Records</u> - of individuals who are referred to the DPW Chaplain		3	4	1
510	<u>Individual Personnel File Folders (Volunteers-Non State Employees)</u> ***Transferred to inactive file upon leaving; retained one year and destroyed		***	-	1
511	<u>Institutional Files</u> - Files on chaplaincy related programs at each institution; files on state/federal laws as pertains to institution and chaplaincy; personnel files ****Destroy when no longer required		****	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
OFFICE FOR THE VISUALLY HANDICAPPED		1430	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
74	<u>Vocational Rehabilitation Case Files (after case closed)</u> - History of each client having received Rehabilitation Services including Form OB 411, Ophthalmological Report, Rehabilitation Plan, Medical and Physical Restoration Data		4	3	1
75	<u>Snack Bar Folders (after stand closed)</u> - Including construction surveys, construction data, legal agreements and related correspondence		1	6	1
77	<u>Daily Report Files</u> - Business Enterprises OB 112, Business Enterprises Operators Daily Reports, showing sales, purchases expenses of Snack bars		2	0	1
78	<u>Equipment Rental Invoice Files</u> - Business Enterprises - OA 110, Monthly Invoice to Snack Bar operators for rental of equipment		7	0	1
79	<u>Stand Operators Monthly Income</u> - Statement Copies of OA 113, Monthly Income Statement, showing sales, expenses and income		6	0	1
395	<u>General Administrative Files and Correspondence</u> - Includes Federal and State Correspondence, Reports, and Records, and Correspondence with other related Agencies. Also includes any other related miscellaneous documents and material		5	0	1
548	<u>Office for the Visually Handicapped Statistical Data Files</u> - File includes: 1. Statistical Data Computer Monthly printouts. (Client Master List, Client Management Exception List, and Client Certification List) 2. Seven Rehabilitation Services Agency Monthly Reports 3. Internal Monthly reports for Fiscal Management on expenditures by County programs		1	-	1

OFFICE OR AREA		OFFICE CODE	DISPOSAL CODES		
DEPUTY SECRETARY FOR ADMINISTRATION BUREAU OF CIVIL RIGHTS COMPLIANCE		1719	1 - NO SPECIAL HANDLING 3 - SHRED 4 - ARCHIVES 5 - RETURN TO AGENCY		
ITEM NO.	DESCRIPTION	MICROFILM	RETENTION PERIOD (YEARS)		DISP. C D
			UNIT AREA	STATE RECORDS CENTER	
396	<u>Contract Compliance Records</u> - Includes Compliance Questionnaires, Policy Statements from companies, reports, and related correspondence and materials		3	-	1
397	<u>Affirmative Action Institutional and County Board Files</u> - Includes Civil Rights, Review Reports, and related correspondence, miscellaneous reports, and miscellaneous documents		3	-	1
398	<u>Affirmative Action Certificate</u>		1 mo.	-	1
400	<u>Complaint Case Files (After Closing)</u> - Includes documentary evidence concerning complaints filed with the Affirmative Action Office		5	2	3
401	<u>Statistical Information and Reports</u> - Includes information and reports from other agencies concerning Human Services		2	-	1
402	<u>General Correspondence</u> - Administrative correspondence and reports relating to operation of the Affirmative Action Office, also includes correspondence with HEW and other Civil Rights Organizations which relate to Human Services		3	-	1



## **ATTACHMENT B**

**HAVERFORD STATE HOSPITAL  
HAZARDOUS WASTE**

2	250 Gal. Oil Tanks
1	55 Gals. Glass & Mirror Cleaner (Cantor)
1	(25 gal) R90 H.D. Biodegradable Multi-purpose cleaner & degreaser (Cantor)
1	3-gal. Emulsion Sealer & Undercoater (standardized Sanitation Systems)
1	2 gal (?) Super Coat Finish (soap powder packets)
6	5 Gal. XYLOL Thinner
7	19 fl. oz. Catalyst Peroxids
11	C100 1 qt. Catalyst
40	19 oz. Peroxide Catalyst
1	40 lb. drum H430 Microbiocide (cooling towers)
1	30 gal. Coilterge (A.C. coil cleaner)(hydrochloric acid)
1	3 gal. Used Motor oil
1	5 gal. #4 – 400 oil, new
1	5 gal. Green Something? From Progress Chemical & Lighting
1	30-40 gal. Drum of UN1789 Compound Cleaning Liquid containing muriatic Acid (State Chemical)
1	2 gal. Smooth White Texture Paint
90	1 gal. Latex Paint
5	5 gal. Latex Paint
21	1 gal. Latex Paint
50	1 gal. Oil Base Paint
50	1 gal. Oil Base Paint
15	1 gal. Oil Base Paint
6	5 gal. Oil Base Paint
4	5 gal. Oil Base Paint
1	½ gal. can Latex Paint Adhesion
6	gal. Descaler Concentrate
3	gal Rustrizer
4	1 gal. Bowling Alley Lane Tamer
5	1 gal. Paint Thinner
1	55 gal. Oil Anti-freeze
1	55 gal. Engine Oil 10W-30
1	gal. ZEP Penetrating Agent?
1	55 gal. Engine Gunk 2/3 (old anti-freeze)
1	55 gal. CITGARD 500 SAE 15W-40-2/3
2	55 gal. Laquer Thinner
1	30 gal. Corrosive unidentified (contains hydrochloric acid) Chemical Systems Corp.
1	20 gal. Drum Freon 113

Page 2

- 1 55 gal. Engine Brile(marked engine gunk)
- 1 30 gal. Unlabeled Item 1/3
- 1 Bx. Electrdyte Acid Batter Fluid
- 4 1 gal. Potassium Iodate-Iodide
- 6 1 gal. Sulfuric Acid
- 1 gal. Hardness Titrating solution
- 1 gal. Hardness reactant
- 1 gal. R395 Moisture displacement & penetrating oil
- 4 5 gal. Gray Hi-build epoxy part B convertor
- 6 5 gal. " " " " " " " "
- 2 5 gal. Duralene Lube Oil
- 4 56 oz. JX555 Amtrar
- Approx. 190 Water Extinguishers
- " 1 CO2
- " 1 Halon

(Cage)

- 1 55 gal. Gulf Universal Tractor Fuid
- 1 " " Low 30
- 1 " " XHD Low 30
- 1 " " Almost Mt. Dexron Trans. fluid
- 1 Refrigerator
- 1 gal. Conlux Satin-Plex Antique White
- 1 5 gal. Birk Latex Exterior
- 2 1 gal. Birk Oil-alicyd (?)
- 1 qt. Alicyd
- 2 1 gal. Water based Paint
- 1 gal. Conlux Satin-Plex
- 1 big Goodyear tire on rim

Insta-Foam Froth Pak Green (Polymeric Isocyanate)

" " " " White Polyol (Amines & Flouro-carbons)

8/28/02